

DEPARTMENT OF THE ARMY
HEADQUARTERS, UNITED STATES ARMY MATERIEL COMMAND
5001 EISENHOWER AVENUE, ALEXANDRIA, VA 22333-0001

AMC Circular
No. 5-6

31 December 1997

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Management

CONTRACTED ADVISORY AND ASSISTANCE SERVICES (CAAS)

Supplementation of this circular is permitted but not required. If supplements are issued, major subordinate commands and separate activities reporting directly to HQ AMC shall furnish one copy to the Commander, AMC, ATTN: AMCRDA-AC.

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*This circular supersedes AMC-C 5-6, 31 December 1994, and all changes.

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1. **Purpose.** The purpose of this circular is to establish responsibility and provide guidance for uniform, responsive, and effective contracted advisory and assistance services throughout the U.S. Army Materiel Command (AMC).

2. **Scope.** This circular applies to the U.S. Army Materiel Command Headquarters, major subordinate commands (MSC), and separate reporting activities and installations (SRA).

3. **References.** Required and related publications are listed at appendix A. Use DOD Directive 4205.2, Acquiring and Managing Contracted Advisory and Assistance Services, and AR 5-14, Contracted Advisory and Assistance Services, in conjunction with this circular.

4. **General.** The Government relies on the private sector for a wide range of services from routine support functions to highly specialized professional, technical, and managerial advice. As service contracts are continually under the scrutiny of the Congress, Office of Management and Budget, and Department of Defense, management control procedures are necessary to ensure quality contractor performance in contracting for services.

a. Public Law 102-394 requires that service contracts be identified by elements of resource codes and a separate object classification in the annual budget submission to Congress.

b. Department of the Army further requires the implementation of the requirement to manage advisory and assistance services be identified in object classification 25.1 (Memo, Jan 94).

c. Commands have appointed CAAS Directors and Coordinators to execute oversight functions of the AMC CAAS program.

5. **Explanation of terms and abbreviations.** a. Advisory and assistance services are acquired by contract from nongovernmental sources (including Federally Funded Research and Development Centers (FFRDC) and other nonprofit organizations) to support or improve:

- w organization policy development, decision making, management, and administration
- w program/project management and administration
- w research and development (R&D) activities

Services include furnishing of professional advice or assistance rendered to improve the effectiveness of Federal management processes or procedures (including those of an engineering and technical nature). The products of CAAS generally take the form of information, advice, opinions, alternatives, analyses, evaluations, recommendations, training, and day-to-day aid of support personnel needed for the successful performance of ongoing Federal operations. The three CAAS categories and budget/Schedule 10 identifiers are Management and Professional Support (MPS) (0001), Studies, Analyses, and Evaluations (SAE) (0002), and Engineering and Technical Support (ETS) (0003). The requiring activity is the initiator of the contract.

b. CAAS determinations are made based on the services required, not on the funding appropriation, program element, total cost, length of service, or type of contract. These services include all funding appropriations (Operations and Maintenance, Army (OMA), Research, Development, Test, and Evaluation (RDTE), Procurement Accounts (PROC), and Army Working Capital Funds (AWCF)). There is no minimum or maximum dollar threshold for reporting CAAS. All contracts for advisory or assistance services, including task/delivery orders and contract modifications, must be identified with a CAAS element of resource and reported in compliance with CAAS policy.

c. Definitions and related terms used in this circular are defined in the glossary.

d. Key milestones in the CAAS process are defined at appendix B.

6. **Exemptions.** a. Routine Federal information processing services (unless they are an integral part of a contract for the acquisition of advisory and assistance services).

b. Architectural and engineering services as defined in the Brooks Architect-Engineers Act (Section 901 of the Federal Property and Administrative Services Act of 1949, 40 U.S. C. 541).

c. Research on theoretical mathematics and basic research involving medical, biological, physical, social, psychological, or other phenomena. (See appendix C for other services that may be exempt from CAAS.)

7. **Policy.** The following guidelines shall apply when contracting for advisory and assistance services. Failure to comply with the guidelines can lead to lack of competition, higher costs, vague and incomplete work statements, and possible conflicts of interest. Failure to properly identify, report, and manage CAAS will result in continued Congressional oversight. This guidance is predicated on a valid requirement, available resources, and a well written Statement of Work (SOW). The SOW must contain enough detail to ensure that the contractor can develop a plan to meet the objectives of the effort and that the Army can measure contractor performance against the objectives; must specify that the contractor must submit written progress reports to the contracting officer (and Contracting Officer Representative if used) and the frequency of the

reports; and must specify the desired content of the reports (e.g., technical progress, fund expenditure, etc.). (See SOW format and instructions at appendix G.)

a. Identify advisory and assistance services. All procurement requests (including classified contractual efforts) shall be screened to identify services subject to the provisions of this circular. Advisory and assistance services shall be obtained on an intermittent or temporary basis (less than 5 years). Repeated or extended service contracts shall not be entered into except under extraordinary circumstances.

(1) Each requiring activity has the initial responsibility to identify and report the advisory and assistance services in all contractual actions.

(a) The CAAS Determination Questionnaire (appendix C) shall be used to determine if a requirement is CAAS. Assistance is available through the organization's CAAS coordinator.

(b) If it is determined that the action is exempt from CAAS, the requiring activity shall maintain a copy of appendix C, with the appropriate certification, on file in the event of an audit.

(c) Activities shall refer to the management controls (appendix D) in analyzing and reviewing requirements for service contracts. (Office of Federal Procurement Policy (OFPP) Policy Letter 93-1 (Reissue), Management Oversight of Service Contracting, dated 18 May 94.)

(2) While CAAS identification is the responsibility of the requiring activities, screening of all procurement requests by the contracting office is recommended.

(3) The organization's CAAS Director is the final authority for determining if a service contract (or any part thereof) is CAAS.

b. Assess in-house capability. Prior to acquiring CAAS, requiring activities shall assess in-house (Army) capability and document (on a case-by-case basis) the in-house sources contacted (including other agencies/commands) and the availability of employees with the required expertise. A sample memorandum for conducting an in-house search is at appendix E.

(1) Results of the search shall be documented in the document described in paragraph 7c.

(2) Contact shall include AMC and other Army schools, Research and Development Laboratories and Centers, U.S. Army Materiel Systems Analysis Activity, U.S. AMC Management Engineering Activity, and other military department activities as appropriate.

(3) If an in-house capability exists, a service contract shall not be initiated.

c. Prepare a Management Decision Document (MDD). Contracts for advisory and assistance services shall not be awarded without an approved MDD. The MDD is a *management* tool to assist managers in fulfilling their fiduciary responsibility in managing CAAS. It is key to the evaluation of benefits versus cost and risks. (See MDD format, appendix F.)

(1) The MDD shall be used to document the coordination and approval process of all CAAS, regardless of dollar value. (See Checklist, appendix J.)

(2) All data elements must be addressed completely and accurately. The MDD should be a stand-alone document if detached from the support data. Avoid the use of “see attached” for data elements other than paragraph 2a of the MDD, as it requires readers to search for information and slows the review and coordination process.

(3) A MDD shall be prepared for all CAAS efforts including basic agreements, task and delivery orders, follow-ons, and modifications (the scope of work changes). Extensions of engineering and technical support contracts require the MDD format shown at appendix F-3. When in doubt, process a new MDD to ensure management approval.

d. Conduct literature search. Prior to initiating a study contract, conduct a literature search through the supporting technical library. The search will help activities avoid duplication of effort, minimize waste of scarce resources, and aid in scoping and defining problems. See appendix B for recommended systems to search.

e. Obtain Defense Technical Information Center (DTIC) Accession Number. Requiring activities shall register all contracted **studies** in the DTIC repository and record the DTIC assigned accession number to the MDD. Register by submitting a Work Unit Information System (WUIS) Worksheet (which replaced the Research and Technology Work Unit Summary (DD Form 1498)). See details that follow.

(1) Instructions for preparing and submitting the WUIS Worksheet are on the Internet:

<http://www.dtic.dla.mil/dtic/dtic-o/wuis.html>
(Worksheet is on page 119)

(2) Send completed WUIS Worksheet to:

(UNCLASSIFIED)
BRTRC
8260 Willow Oaks Corporate Drive
Suite 800
Fairfax, VA 22031

(CLASSIFIED)
Defense Technical Information Center
ATTN: DTIC-OCP
8725 John J. Kingman Road, STE 0944
Fort Belvoir, VA 22060-6218

(3) DTIC assigns an accession number to each WUIS Worksheet upon receipt. Requiring activities shall annotate the accession number on the MDD prior to coordination. (See MDD format, appendix F.)

(4) Only contracted **studies** must be registered in DTIC. Requiring activities may opt to register Management and Professional Support or Engineering and Technical Support contracts if it is determined the results would benefit other agencies.

(5) The DTIC data base contains information on current and completed research projects. For literature searches to be valid, requiring activities must comply with reporting requirements as stated in this circular.

f. Identify CAAS category and project codes in MDD. The type of services being requested shall be properly identified in the MDD prior to coordination. The three CAAS categories (Studies, Analyses, and Evaluations (SAE); Management and Professional Support (MPS); and Engineering and Technical Support (ETS)) are defined in the glossary.

(1) *Category.* Identify the category in the subject line of the MDD (e.g., SAE, Streamlining AMC; MPS, Technical Data Collection; or ETS, Contractor Field Service Representative). (See appendixes C and F.)

(2) *Element of Resource (EOR).* Identify the applicable resource code in the MDD. Resource codes (defined in the Defense Finance and Accounting System (DFAS) Manual 37-100-XX, The Army Management Structure) are critical in properly accounting for CAAS. (See appendixes C and F.)

(3) *Federal Supply Class (FSC) Code.* The requiring activity shall recommend the FSC code in the MDD.

(4) *Project Unique Identification Code (PUIC).* A PUIC shall be assigned to each CAAS effort by the organization's CAAS Coordinator and entered on the top right of the first page of the MDD prior to coordination. The project code is critical in identifying and tracking the individual CAAS efforts therefore a new project code shall be assigned to each effort (including task and delivery orders). For continuity, the project codes for the basic contract and the task order may both be annotated in the MDD. The PUIC is also entered on the corresponding Schedule 10. (See glossary.)

g. Coordination. Any contract whose principal product is a written report, briefing, advice, or assistance (management, engineering, or technical) must be coordinated with the organization's CAAS Coordinator (at HQ AMC in the Office of the Deputy Chief of Staff for Research, Development, and Acquisition).

(1) The organization's CAAS Coordinator is responsible for reviewing all CAAS actions and for implementing the requirements of this circular for CAAS oversight. The review shall ensure that the documentation is complete and that the need for outside assistance has been

vigorously challenged. Classified efforts will be handled on a case-by-case basis by the sponsor, CAAS Coordinator, and local security office.

(2) All CAAS actions shall include a legal review.

(3) Additional coordination shall include the procuring organization's Small and Disadvantaged Business Utilization (SADBU) Office, Acquisition Center, Deputy Chief of Staff for Research, Development and Acquisition, Competition Advocate, and other such offices as necessary.

(4) This policy applies to all such contracts paid for with money programmed and budgeted by AMC regardless of appropriation or procuring organization.

h. Approval authority. Management approval is required for all CAAS.

(1) If the proposed contract requirement is estimated below \$50,000 the MDD approval authority shall be one level above the requiring activity (levels being branch, division, Deputy Chief of Staff, Chief of Staff, Commander).

(2) Contractual CAAS requirements above \$50,000 must be approved by a General Officer (GO) or member of the Senior Executive Service (SES) or a colonel (06) occupying a commanding officer position which is authorized a GO. Where SES personnel are subordinate to the commander (06), the approval authority is delegated by Commander, AMC to the commander (06). Approval authority may also be delegated to non-GO/SES personnel (GS/GM-15) that are acting or detailed into a GO/SES position.

(3) If the cost of a proposed **study** (SAE, Category II, Identifier 0002) exceeds \$250,000, the service contract must be sent through HQ AMC (AMCRDA-AC) for Headquarters, Department of the Army (HQDA) approval.

i. CAAS Contract Point of Contact. Subsequent to coordination and approval, all contract actions which include CAAS requirements shall be submitted directly to the CAAS Contract Point of Contact (see paragraph 8) located in the organization's acquisition office for review and assignment to the appropriate contracting section.

j. Independent Cost Estimate (ICE). Prior to issuing a solicitation, the contracting officer (when it is feasible to do so) or the requiring activity shall develop an estimate of the price of the services to be purchased. The cost estimate shall be attached to the MDD prior to coordination. (See ICE format, appendix H.)

k. Use full and open competition. Contracts for CAAS shall be awarded through the use of full and open competition unless the conditions in Federal Acquisition Regulation (FAR 6.3) for Other Than Full and Open Competition have been met. Noncompetitive contracts require a justification which must accompany the MDD and SOW during the coordination process. (See appendix I.)

l. Contract modifications. Modification of a contract shall be undertaken only with great caution. In lieu of a contract modification, organizations should consider continuing the work in-house or seeking a new competitive acquisition.

m. Identify embedded CAAS. Except in special cases (e.g., if the action is administratively impractical and results in increased costs and loss of efficiency), all CAAS as defined herein shall be procured only through a contract dedicated solely to these purposes.

(1) Contracts for CAAS will clearly describe the work to be performed, the items to be delivered, and will specify a fixed period of performance.

(2) Requiring activities are responsible for identifying embedded CAAS in predominantly non-CAAS contracts. Assistance and advice shall be obtained from the CAAS Coordinator and the acquisition and legal offices.

(3) When CAAS must be procured in a predominantly non-CAAS contract, the CAAS portion will be separately identified, separately priced, and will be assigned a separate contract line item number.

(4) Nonseverable, embedded/incidental services that might conceivably be categorized as CAAS need not be discretely managed under this directive if the action is administratively impractical and results in increased costs and loss of efficiency.

n. Solicitation statement. CAAS solicitations shall include a statement requiring the bidder/offeror to indicate whether, when, and to what other Government agency they have provided similar services.

o. Small/Disadvantaged Businesses. It is the policy of the Government to place a fair proportion of its acquisitions, including contracts and subcontracts for subsystems, assemblies, components, and related services for major systems, with small business concerns and small disadvantaged business concerns (FAR 19.2, Small Business Programs Policies). The DOD FAR Supplement (Subparts 219.2 and 226.7) furthers the policy of placing a fair proportion of its acquisitions with Small Disadvantaged Business (SDB) concerns, Historically Black Colleges and Universities (HBCU), and Minority Institutions (MI).

p. Matrix Support to the Program/Project Manager and Program Executive Office (PEO). AMC CAAS efforts include AMC service contracts and those in specific support of the AMC mission of providing development and acquisition support to the PEO organization (i.e., matrix support). Matrix support is functional support (such as cost analysis, software engineering, and logistics support) from subordinate commands. When subordinate commands don't have adequate in-house resources, they may contract for matrix support.

(1) PEO are not staffed or funded to duplicate or replace support that AMC is functionally staffed to provide. MDD for CAAS obtained through a MSC contract, shall be prepared by the MSC/SRA functional element with the responsibility to perform that type of

development or acquisition support. The PEO should normally prepare the SOW. The approval authority for the MDD is within the MSC/SRA chain of command. Dual approval authority by both the PEO and the MSC/SRA is authorized and may be appropriate.

(2) AMC shall not duplicate any of the PEO management responsibilities. MDD for CAAS obtained through a PEO contract, prepared by project/program managers assigned to a PEO, are submitted to the PEO for management approval (not AMC). Contracting officers shall not process a CAAS contract (or a task order procuring CAAS) without an approved MDD.

(3) Memorandum of agreement/understanding shall be developed, when deemed necessary, between the PEO and MSC. The documents should address coordination requirements.

(4) MSC/SRA shall provide specific guidance to PEO when requested.

q. Budget submissions. Procedures shall be established to ensure funds for CAAS are identified in the AMC annual budget submission. (See Schedule 10 instructions, appendix L.)

r. Contract reviews. CAAS contracts may not be continued for longer than 5 years without review by the requiring activity for compliance with this circular.

s. Command Operating Plan (COP). Each command's CAAS Coordinator shall maintain an operating plan that identifies projected and ongoing CAAS efforts for a specified fiscal year. The Schedule 10 shall provide the initial input. The COP shall be kept current at all times and shall be filed with documents which describe the requirement and justify the need (MDD, SOW), estimate the cost (ICE), justify contracts for other than full and open competition (source justification), and explain why contractual services are needed to satisfy the requirement.

8. Responsibilities. Every manager has the responsibility to conscientiously manage CAAS.

a. Headquarters, U.S. Army Materiel Command.

(1) The Assistant Deputy Chief of Staff for Research, Development and Acquisition (ADCSRDA) is the Command CAAS Director and is responsible for the overall management thereof. The ADCSRDA shall --

(a) Provide overall staff supervision for the effective management of CAAS in AMC.

(b) Designate an AMC CAAS Coordinator.

(2) The AMC CAAS Coordinator shall --

(a) Provide technical advice and guidance to subordinate commands, activities, and HQ AMC staff elements on all aspects of CAAS.

(b) Coordinate staff review and approval of all MDD that require approval by a management official at HQ AMC or HQDA.

(c) Serve as the office of record and maintain a master file of all MDD.

(d) Solicit, consolidate, and finalize data for inclusion in the budget program resource review (Schedule 10) for all planned CAAS falling within the scope of AR 5-14. Schedule 10 also serves as the basis of each Command Operating Plan.

(e) Submit copies of the AMC CAAS annual budget submission to the Army CAAS Director, Deputy Under Secretary of the Army for Operations Research (DUSA(OR)), through the Study Program Management Office (SPMO).

(f) Monitor and provide staff direction commandwide for studies, analyses, and evaluations (SAE), management and professional support (MPS), and engineering and technical support (ETS).

(g) Evaluate the use and application of CAAS.

(h) Assure a historical file of each approved service contract is maintained.

(3) The Deputy Chief of Staff for Logistic and Operations is responsible for monitoring and providing staff direction commandwide for CAAS efforts pertaining to engineering and technical services (ETS) the Logistic Assistance Program (LAP) in AMC.

(4) HQ AMC staff elements headed by a general officer (GO) or a member of the senior executive service (SES) are responsible for staff review and approval actions, within their areas of responsibility, on all MDD submitted for approval by HQ AMC, and for recommendations on all MDD submitted for approval by HQDA. This responsibility applies to all CAAS categories.

(5) HQ AMC staff elements (not headed by GO/SES) are responsible for staff review and appropriate recommendations, within their areas of responsibility, on all MDD submitted for approval by HQ AMC or HQDA. This responsibility applies to all CAAS categories.

b. Commanders/Directors of MSCs and separate installations/activities reporting directly to HQ AMC are responsible for the following, for all CAAS:

(1) Monitor the planning and conduct of CAAS by appointing a staff element head as the organization's CAAS Director. At the discretion of the MSC/SRA heads, CAAS Directors (and/or CAAS Coordinators) may be appointed at subordinate organizations to perform the responsibilities detailed in this circular.

(2) Designate approval authorities within the organization for management approval of CAAS required by the organization.

(3) Ensure that each separate office responsible for contracting has a CAAS Contract Point of Contact designated. Designation of a CAAS Contract Point of Contact will ensure continuity in the CAAS oversight process. For commands with multiple sites, one CAAS Contract Point of Contact may be designated to correspond to each CAAS Director, provided one is appointed as the primary point of coordination for purposes of communication with higher headquarters when a unified procurement position is required.

c. MSC/SRA CAAS Directors shall--

(1) Ensure compliance with the provisions of this circular and other CAAS regulatory documents. (See appendix A.)

(2) Appoint a member of their staff to perform the functions of CAAS Coordinator

d. MSC/SRA CAAS Coordinators shall--

(1) Execute oversight functions and serve as liaison between requiring, resource, and procurement activities. A Policy Compliance Review Checklist is provided (appendix N) to help ensure your CAAS program complies with regulation and would stand the test of an audit/inspection.

(2) Ensure that appropriate management controls are established to identify all requirements for CAAS and that all service (nonhardware) procurement requests are screened for CAAS items using the questionnaire (appendix C), management controls (appendix D), and criteria for processing a MDD (appendix J).

(3) Ensure that the contracts deemed to be exempt from the management controls of AR 5-14 are documented using the CAAS Determination Questionnaire (appendix C of this circular).

(4) Establish a process to review all CAAS procurement requests prior to submission for approval ensuring that the total requirements package (i.e., MDD, SOW, justification for other than full and open competition (if applicable), independent cost estimate (appendix H), certificate of urgency (if applicable), and legal coordination) is in the proper format and complies with established CAAS policy.

(5) Review MDD for resource utilization and also ensure that in-house capability assessments are valid and that CAAS are only acquired when essential to the command's mission.

(6) Ensure SOW describes the required services clearly and distinctly. (See SOW format, appendix G.)

(7) Maintain a command operating plan that consists of all approved CAAS efforts. (See paragraph 7.)

(8) Oversee the preparation of, review, recommend approval of, and submit the organization's CAAS annual budget (Schedules 10 and 10B). (See paragraph 9.)

(9) Track project status and funds obligations for each individual contract effort.

(10) Ensure accurate and timely reporting of appropriate CAAS actions to DTIC, Defense Logistics Studies Information Exchange (DLSIE), and other relevant data repositories, if applicable.

(11) Ensure contracting, purchasing, and finance and accounting offices have sufficient information to enable them to correctly code individual procurement actions, reports, and accounting records.

(12) Ensure CAAS reporting requirements are met. (See paragraph 9.)

(13) Ensure that all CAAS contracts which continue beyond 5 years are reviewed for compliance with this circular.

(14) The above requirements shall be carried out for all CAAS categories.

e. CAAS Contract Points of Contact shall--

(1) Serve as the point of entry for all CAAS requirements coming into each command's procurement/contracting office for contract execution.

(2) Ensure that each CAAS contract requirements package (i.e., MDD, SOW, justification for other than full and open competition (if applicable), independent government estimate, certificate of urgency (if applicable), and legal coordination) is in the proper format and complies with established CAAS policy.

(3) Review each CAAS requirement for maximum consolidation with other similar requirements. The principal CAAS Contract Point of Contact, where applicable, shall ensure optimum consolidation between sites, as well as within a single location.

(4) Assign each CAAS requirement to the appropriate contracting section based on the above review and track the progress of each action through contract execution.

(5) Serve as needed, but at least during the review of the CAAS annual budget submission, in a planning role in coordination with the CAAS Coordinator in order to establish requirements-type contracts for appropriate groups of efforts.

(6) Ensure Contracting Officer reporting requirements which are part of CAAS oversight reporting requirements are fulfilled and forwarded, as required.

f. Activities requiring CAAS shall follow guidance in this circular in developing, processing, managing, and evaluating CAAS for which they have been assigned responsibility. (See CAAS Life Cycle Model, appendix B.)

9. **Reporting.** A matrix of reporting requirements is shown at appendix M.

a. Management Decision Document. CAAS Coordinators shall forward a copy of all approved MDD (locally approved and those requiring higher level approval) to HQ AMC, ATTN: AMCRDA-AC, within 60 days of final approval. (See MDD format, appendix F.)

b. Work Unit Information System (WUIS) Worksheet (modified DD Form 1498). Requiring activities shall submit a WUIS Worksheet to the Defense Technical Information Center (DTIC) for each of the following services:

(1) Contracted (and in-house) studies, analyses, and evaluations (Category II, Identifier 0002).

(a) When a contract is awarded, changed, terminated, or completed the WUIS Worksheet shall be updated within 20 working days of the event.

(b) When a contract is completed the requiring activity shall submit a written best-qualitative evaluation of the results based on available information.

(2) Management and professional support (Category I, Identifier 0001) if the contract calls for a final report or the requiring activity determines that the results would be useful to other organizations.

(3) Engineering and technical support (Category III, Identifier 0003) if the requiring activity determines that the results would be useful to other organizations.

Instructions for preparing the WUIS Worksheet are on the Internet (see paragraph 7.e.1.). A copy of each Worksheet shall be forwarded to Commander, AMC, ATTN: AMCRDA-AC. For CAAS efforts with logistic concerns, forward a copy to the Defense Logistics Studies Information Exchange (DLSIE). (AR 70-9, AR 5-14, AR 5-5, AR 5-7, DA Pam 5-5.)

c. Management Evaluation. Requiring activities shall prepare a written management evaluation for all CAAS efforts within 30 days after completion (or termination) of the contract. The evaluation shall discuss the effectiveness of the contractor in performing the effort and the requiring activity's management and support of the effort. A copy of the evaluation shall be provided the contracting officer for inclusion in the official file. (See evaluation format at appendix K.)

d. Engineering and Technical Support Evaluation. An evaluation shall be prepared for each completed ETS contract and a copy forwarded to HQ AMC, ATTN: AMCLG. (See evaluation format at appendix K.)

e. Report Documentation. A Report Documentation Page (Standard Form 298) shall be prepared by the requiring activity within 30 days of completion of each Category II (SAE) and Category I (MPS) effort that results in a formal report. (See instructions in the next paragraph.)

f. Final Report. The requiring activity shall submit four copies of the final report (Category II (SAE) and Category I (MPS) efforts that result in a formal report) and Standard Form 298 to the official library supporting the organization (or to the activity to which this function is assigned, if not assigned to the library). Distribution shall be as follows: Two copies to DTIC, one copy to the Army Library, one copy to be retained by the official library supporting the organization. (AR 5-5, AR 5-14.)

g. Schedule 10. Commands shall input Schedules 10 (Advisory And Assistance Services) as part of the AMC CAAS budget submission. Detailed instructions are published electronically each year. General instructions for submitting the schedules are at appendix L. The schedules are used for development, presentation, and defense of AMC's budget to HQDA. Army incorporates Schedule 10 data into the President's Budget Exhibit (No. 15). All appropriations and funds must be accounted for (OMA, RDTE, PROC, and AWCF).

h. Other. Any other report forms (DD 350, DD 448, DD 1262) that relate to, or support, a particular CAAS effort shall be attached to the MDD prior to coordination. (See appendix A.)

10. **Unsolicited proposals**. Procedures for the receipt, evaluation, and disposition of unsolicited proposals (defined in glossary) are in FAR 15.6, Unsolicited Proposals. To award a contract based on an unsolicited proposal without providing for full and open competition requires that appropriate authority exists (FAR 6.3, Other Than Full and Open Competition).

11. **Best practices**. The "best practices" (defined in glossary) concept of managing service contracts will help agencies develop, analyze, and perfect contractual requirements. The AR 5-14 and the guidelines in this circular will help ensure quality contract management and administration.

The proponent of this circular is the U.S. Army Materiel Command. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) to the Commander, HQ AMC, ATTN: AMCRDA-AC, 5001 Eisenhower Avenue, Alexandria, VA 22333-0001.

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APPENDIX A

REFERENCES

A-1. Required Publications.

AR 5-5, Army Studies and Analyses.

AR 5-7, Defense Logistics Studies Information Exchange.

AR 5-14, Management of Contracted Advisory and Assistance Services.

AR 5-20, Commercial Activities Program (implements OMB Circular A-76).

AR 70-9, Army Research and Development Information System Programming Planning and Ongoing Work Reporting.

DA PAM 5-5, Guidance for Army Study Sponsors, Sponsor's Study Directors, Study Advisory Groups, and Contracting Officer Representatives.

DFAS Manual 37-100-XX, Army Management Structure.

DODD 4205.2, Acquiring and Managing Contracted Advisory and Assistance Services.

DODD 5105.4, DOD Federal Advisory Committee Management Program, 5 September 1989.

FAR, Part 37, Service Contracting (also see Service Contracting in DFAR, AFAR).

OFPP Policy Letter 93-1 (Reissue), Management Oversight of Service Contracting.

OFPP Policy Letter 92-1, Inherently Governmental Functions.

OFPP Policy Letter 89-1, Conflicts of Interest Applicable to Consultants.

OMB Cir A-76, Performance of Commercial Activities, 4 August 1983.

OMB Cir A-11, Preparation and Submission of Budget Estimates.

Public Law 102-394, Element of Resource (EOR) and Object Classification

MIL-HDBK-245B, Preparation of Statement of Work, 1 June 1983.

A-2. Related Publications.

AR 420-10, Facilities Engineering: Management of Installation Directorates of Engineering and Housing.

AR 700-4, Logistics Assistance Program.

A-3. Referenced Forms.

DD Form 350, Individual Contracting Action Report.

DD Form 448, Military Interdepartmental Purchase Request (MIPR).

DD Form 1155, Order for Supplies or Services. (appendix B)

DD Form 1262, Administrative Service Request.

DD Form 1423, Contract Data Requirements List (CDRL).

DD Form 1498, Research and Technology Work Unit Summary: Work Unit Information Summary (WUIS) Worksheet.

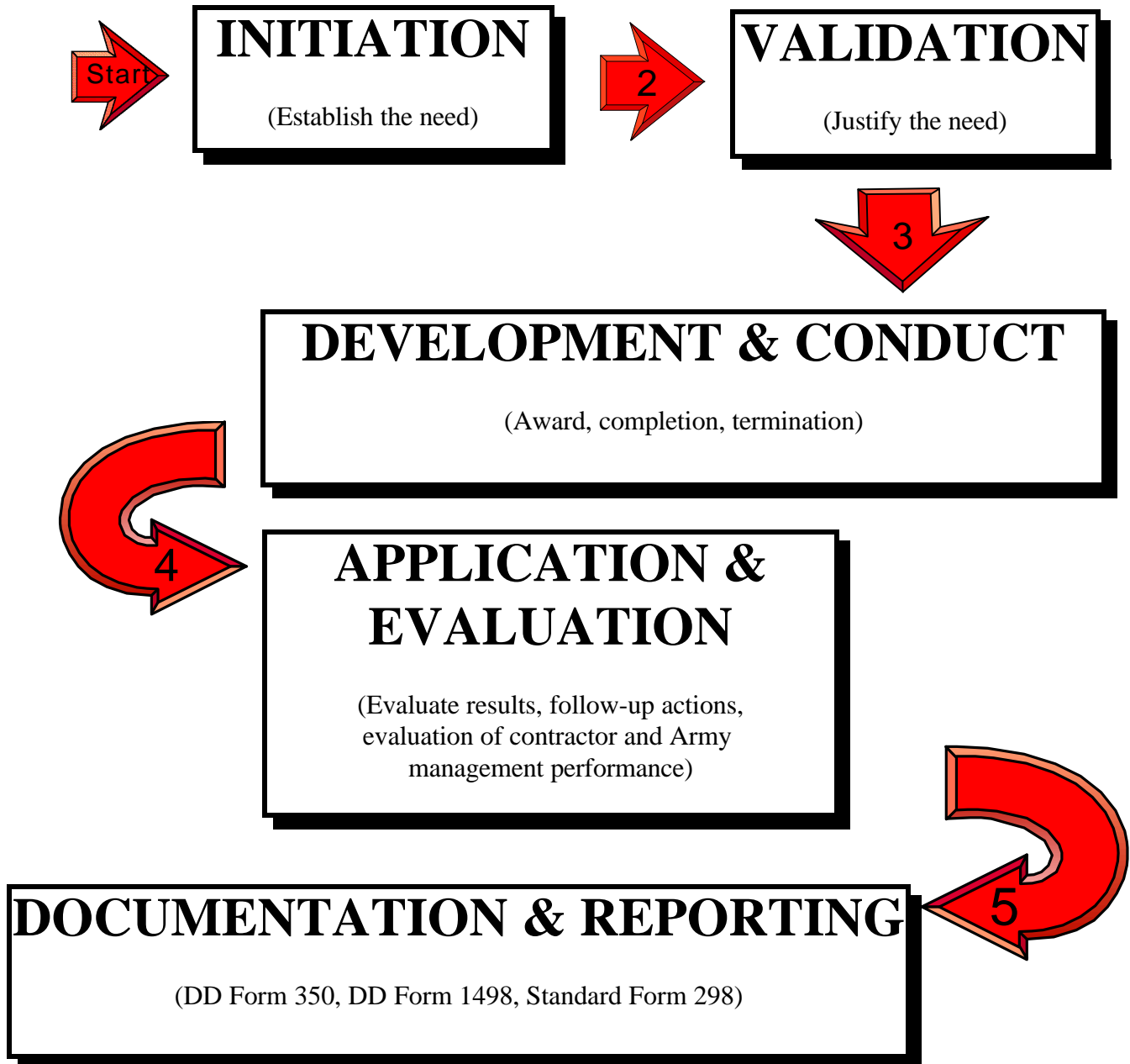
DD Form 1664, Data Item Description (DID).

Schedule 10, Contracted Advisory and Assistance Services (CAAS).

Standard Form 298, Report Documentation Page.

APPENDIX B

CAAS
LIFE CYCLE MODEL



	ReAct	CAAS Coord	Library	Contr Ofcr
1. INITIATION x Define the need ----- To justify the need for contract support, Requiring Activity (ReAct) must initially: z Define the problem and scope. z Identify valid objectives. z Identify use and user of results. z Determine when results needed. z Estimate benefits, costs, risks. (DO NOT CONTINUE IF BENEFITS DO NOT JUSTIFY COSTS AND RISKS)	,			
2. VALIDATION x Conduct literature search ----- A proper literature search will assist in scoping and refining problem definition and prevent duplication. Your supporting official library will conduct searches upon request. At a minimum, a search of DTIC should be conducted. Other options are listed below. z Defense Technical Information Center (DTIC). z Defense Logistics Studies Information Exchange (DLSIE). z The Army Study Program (TASP) Report. z U.S. Army Audit Agency (USAAA). z National Technical Information Service (NTIS). z DRS 2600-37-96 Register of Intelligence Publications. z DST 26602-00-87 Scientific and Technical Intelligence Register. z Others (see AR 5-14). x Determine if should be in-house or contractual effort --- Assess in-house capability (expertise available in Army). z Compare cost and benefit for contract vs in-house. z Determine feasibility of hiring in-house vs contract. x Determine availability of funds ----- Properly identify CAAS efforts in the financial system. z Ensure Element of Resource (EOR) code in fund cite is accurate (and matches EOR cited in the MDD). z Use corresponding EOR and Federal Supply Codes.			,	,,

	ReAct	CAAS Coord	Library	Contr Ofcr
x Prepare Statement of Work (SOW) ----- Preparation of the SOW is critical to the procurement. z Ensure details of SOW accurately and completely describe the intended services, costs, and deliverables.	,			
x Coordinate with Contracting Office ----- Informal coordination with contracting office to review schedules, funding, contents of the SOW, acquisition strategy, need for a contracting officer's representative.	,			,
x Task Orders Let Under Existing Basic Contracts ----- Ensure task order documents are being developed in consonance with the support contract requirements and there are no conflicts.	,			
x Falls Within Definition of CAAS----- Coordinate with the organization's CAAS Coordinator to determine if the work to be contracted falls within CAAS guidelines.	,	,		,
x Obtain Management Approval ----- z Develop Management Decision Document (MDD)-- The MDD is required to obtain formal management approval of all CAAS requirements.	,	,		
z Prepare Statement of Urgency (If appropriate) ----- If buy is urgent, a waiver to the requirement for a synopsis of the solicitation in the CBD may be requested by Principal Contracting Officer (PCO). To prepare the waiver, the PCO needs a statement of urgency prepared by the ReAct as supporting documentation for the files.	,			
z Develop Justification ----- If acquisition is for other than full and open competition, a justification must accompany MDD.	,	,		
z Obtain Project Unique Identification Code (PUIC)-- (Example: AMSEL-S-005) PUIC is made up of office symbol of ReAct, letter that symbolizes FY dollars being obligated (S=98; T=99; U=00), and a 3-digit agency sequence number.	,			
z Obtain Accession Number for Defense Technical Information Center (DTIC).	,			

	ReAct	CAAS Coord	Library	Contr Ofcr
<p>x Staff/Coordinate -----</p> <p>Prior to obtaining approval, all efforts should be formally coordinated with the CAAS Coordinator, legal office, resource manager, and procurement office.</p> <p>z IF THIS IS A HQ AMC PROCUREMENT and is to be executed by PCO at Defense Supply Service - Washington (DSSW), the completed package must be forwarded to HQ AMC Budget Office for assignment of a requisition number and funding approval.</p>	,	,		
<p>x Report -----</p> <p>z Provide copy of completed procurement package (MDD, SOW, ICE, justification, request forms, etc.) to the command's CAAS Coordinator, as appropriate.</p> <p>z Provide copy of ALL MDD to HQ AMC, ATTN: AMCRDA-AC (DO NOT send support documents).</p>	,	,		
<p>x Update Command Operating Plan (COP) -----</p> <p>The COP will identify projected and ongoing CAAS and will be updated as changes occur, thus providing the current status of each command's use of consulting services.</p> <p>z Maintain COP. Schedule 10 of the Command Budget Estimate (CBE) will provide the initial input into the COP. As the tasks identified in Schedule 10 proceed through the process the COP will be updated to reflect any changes.</p> <p>z Provide copy of COP (and updates) to HQ AMC, ATTN: AMCRDA-AC.</p>	,	,		
<p>x Forward Package to Principal Contracting Officer -----</p> <p>z IF THIS IS A HQ AMC PROCUREMENT and is being executed by a PCO at DSSW, a contract number will be subsequently assigned to the procurement package by DSSW and transmitted back to HQ AMC on DD Form 1155, Order for Supplies or Services.</p> <p>z Develop evaluation criteria and convene evaluation board for competitive acquisition.</p>	,	,		

	ReAct	CAAS Coord	Library	Contr Ofcr
3. DEVELOPMENT AND CONDUCT - AWARD, COMPLETION, TERMINATION x Assist Contracting Officer. x If study - appoint Study Director. x Monitor modifications to contract.	, , ,	, 		,
4. APPLICATION AND EVALUATION x Evaluate results. x Follow-up actions. x Evaluation of contractor and Army Management Performance.	, , ,	, 		
5. DOCUMENTATION AND REPORTING x DD Form 1498 (AR 70-9) or Work Unit Information System Worksheet. (Optional for MPS and ETS.) x Control and distribute reports per applicable regulations. x Final Report - to servicing Technical Library.	, , ,	, 	, 	

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APPENDIX C

CAAS DETERMINATION QUESTIONNAIRE

Instructions: Review the requirement in the statement of work. Use this questionnaire to determine if the effort falls under the requirements of AR 5-14 and this circular. The CAAS categories are studies, analyses, and evaluations (SAE); management and professional support (MPS); and engineering and technical support (ETS). These services are identified in the annual budget by element of resource (EOR). DO NOT identify CAAS as EOR 2581.

a. If the proposed requirement IS described in items 1-13 (below) it is not CAAS and no further questions should be answered. Complete and file the certification (page C-8) for audit or future reference (provide a copy to the requiring activity's CAAS Coordinator).

b. If the proposed requirement IS NOT described in items 1-13, review the remaining questions and definitions to determine the appropriate CAAS category; complete the certification (page C-8), and file for audit or future reference (provide a copy to the requiring activity's CAAS Coordinator). Proceed with AMC-C 5-6 guidelines for processing a CAAS requirement.

c. Throughout the determination process, care must be taken to ensure there is no embedded CAAS. Embedded CAAS must be identified by EOR and a MDD prepared for only the CAAS portion.

ADVISORY AND ASSISTANCE SERVICES are those services acquired by contract from nongovernmental sources (including all Federally Funded Research and Development Centers (FFRDC) and nonprofit organizations) to support or improve organization policy development, decision making, management, and administration; support program and/or project management and administration, provide management and support services for R&D activities; provide engineering and technical support services; or improve the effectiveness of management processes or procedures. These services may take the form of information, advice, opinions, alternatives, analyses, evaluations, recommendations, training, and technical support.					
No.	SERVICES	CAAS CAT	REFERENCE	FSC	EOR
1	<p>with private sector for routine ADP and telecommunication support (e.g., Federal information processing resources (unless integral part of contract for acquiring CAAS); installation, operation or maintenance of system; monitoring day-to-day hardware or software performance and support to accomplish these particular actions; daily functions such as data-entry and equipment operation or maintenance; hands-on work related to operating or maintaining existing ADP or telecommunications equipment; standard maintenance and help desk services).</p> <p>NOTE: Services that help guide agencies in how they design, select, and use Information Technology (ADP and telecommunications) systems, are CAAS. Services that recommend to the government decision maker which modification or repair may be necessary (especially if assisting in evaluating contractor A proposal versus contractor B's), or whether to repair, modify or do nothing, are CAAS.</p>	N/A (SEE NOTE)	DFAS-M 37-100-XX		
2	<p>for architectural and engineering (A&E) services for construction, alteration, or repair (including dredging, excavating, and painting) of buildings, structures, or other real property.</p> <p>NOTE: A&E services associated with contracts for construction are NOT necessarily exempt.</p>	N/A (SEE NOTE)	FAR 36.102; DFAS-M 37-100-XX		
3	to conduct research on theoretical mathematics and fundamental physical, biological, social, psychological, or other phenomena unrelated to particular issues or systems.	N/A	DFAS-M 37-100-XX		
4	obtained through personnel appointments (reported in object class 11.3).	N/A	DFAS-M 37-100-XX;		
5	obtained through chartered Federal advisory committees (reported in object class 11.3).	N/A	DFAS-M 37-100-XX;		
6	obtained through personal services contracts authorized by statute .	N/A	OMB Policy Ltr 93-1		
7	for day-to-day operation of facilities and functions .	N/A	DFAS-M 37-100-XX		

No.	SERVICES	CAAS CAT	REFERENCE	FSC	EOR
8	in connection with the initial installation of equipment (performed by vendor) that are classified under EOR 31XX.	N/A	DFAS-M 37-100-XX		
9	supporting the Foreign Military Sales (FMS) Program (paid for with funds that will be reimbursed by the foreign customer or services citing other nonappropriated funds, e.g., Security Assistance; National Foreign Intelligence Program (NFIP); Tactical Intelligence and Related Activities (TIARA); General Defense Intelligence Program (GDIP); Intelligence program managed by the Director, National Security Agency/Central Security Service).	N/A	AR 5-14		
10	for basic research (research directed toward increase of knowledge in science; primary aim is a fuller knowledge or understanding of the subject under study, rather than any practical application thereof). Check embedded CAAS. NOTE: Basic research performed by a Federally Funded R&D Center (FFRDC) is NOT exempt from CAAS and must be reported in compliance with this policy.	N/A (SEE NOTE)	AR 5-14		
11	for routine maintenance and engineering services.	N/A	AR 5-14		
12	for training which maintains skills necessary for normal operations and training obtained for individual professional development.	N/A	AR 5-14		
13	Field service representative (FSR) services requested by the contractor. NOTE: If the contractor requests an FSR be used solely for advisory service or for liaison between the contractor and the military advisory service or for liaison between the contractor and the military users of the contractor's equipment or components, the cost of the FSR, to include travel and transportation of baggage and equipment, shall not be directly reimbursable by the Government.	N/A (SEE NOTE)	FAR 37.202		

STUDIES, ANALYSES, AND EVALUATIONS are contractual services that provide organized, analytic assessments/evaluations in support of policy development, decision making, management, or administration. Includes studies in support of R&D activities and obligations for models, methodologies, and related software supporting studies, analyses, or evaluations.					
No.	SERVICES	CAAS CAT	REFERENCE	FSC	EOR
14	ADP Studies to support systems development: -management study -feasibility study -technology forecast -requirements definition -advisory & assistance services which will not produce operating systems software.	SAE	DFAS-M 37-100-95	D399	2541
15	Special Studies & Analyses (including R&D): a. Accounting/Financial Management Study b. Acquisition Policy/Procedures Study c. Aeronautic/Space Study d. Air Quality Analysis e. Archeological/Paleontological Study f. Building Technology Study g. Chemical/Biological Study/Analysis h. Communications Study i. Cost Benefit Analysis j. Data Analysis (nonscientific) k. Defense Study l. Economic Study m. Educational Study/Analysis n. Elderly/Handicapped Study o. Endangered Species Study (plant/animal) p. Energy Study q. Environmental Study/Assessment r. Feasibility Study (nonconstruction) s. Fisheries & Animal Study t. Foreign Policy/Natl Security Policy Study u. Geological Study v. Geophysical Study w. Geotechnical Study x. Grazing/Range Study y. Historical Study z. Housing/Community Development Study	SAE	AR 5-14; AR 5-5	B547	2542
		SAE	AR 5-14; AR 5-5	B554	2542
		SAE	AR 5-14; AR 5-5	B539	2542
		SAE	AR 5-14; AR 5-5	B502	2542
		SAE	AR 5-14; AR 5-5	B503	2542
		SAE	AR 5-14; AR 5-5	B540	2542
		SAE	AR 5-14; AR 5-5	B504	2542
		SAE	AR 5-14; AR 5-5	B553	2542
		SAE	AR 5-14; AR 5-5	B505	2542
		SAE	AR 5-14; AR 5-5	B506	2542
		SAE	AR 5-14; AR 5-5	B541	2542
		SAE	AR 5-14; AR 5-5	B507	2542
		SAE	AR 5-14; AR 5-5	B542	2542
		SAE	AR 5-14; AR 5-5	B555	2542
		SAE	AR 5-14; AR 5-5	B509	2542
		SAE	AR 5-14; AR 5-5	B543	2542
		SAE	AR 5-14; AR 5-5	B510	2542
		SAE	AR 5-14; AR 5-5	B513	2542
		SAE	AR 5-14; AR 5-5	B516	2542
		SAE	AR 5-14; AR 5-5	B549	2542
		SAE	AR 5-14; AR 5-5	B517	2542
		SAE	AR 5-14; AR 5-5	B518	2542
		SAE	AR 5-14; AR 5-5	B519	2542
		SAE	AR 5-14; AR 5-5	B520	2542
		SAE	AR 5-14; AR 5-5	B521	2542
		SAE	AR 5-14; AR 5-5	B545	2542

No.	SERVICES	CAAS CAT	REFERENCE	FSC	EOR
15	aa. Intelligence Study	SAE	AR 5-14; AR 5-5	B538	2542
	bb. Legal Study	SAE	AR 5-14; AR 5-5	B522	2542
	cc. Manpower Study	SAE	AR 5-14; AR 5-5	B552	2542
	dd. Mathematical/Statistical Analysis	SAE	AR 5-14; AR 5-5	B524	2542
	ee. Medical & Health Study	SAE	AR 5-14; AR 5-5	B537	2542
	ff. Mobilization/Preparedness Study	SAE	AR 5-14; AR 5-5	B551	2542
	gg. Natural Resource Study	SAE	AR 5-14; AR 5-5	B525	2542
	hh. Oceanological Study	SAE	AR 5-14; AR 5-5	B527	2542
	ii. Organization/Admin/Personnel Study	SAE	AR 5-14; AR 5-5	B550	2542
	jj. Recreation Study	SAE	AR 5-14; AR 5-5	B527	2542
	kk. Regulatory Study	SAE	AR 5-14; AR 5-5	B528	2542
	ll. Scientific Data Study	SAE	AR 5-14; AR 5-5	B530	2542
	mm. Security Study (Physical & Personal)	SAE	AR 5-14; AR 5-5	B546	2542
	nn. Seismological Study	SAE	AR 5-14; AR 5-5	B532	2542
	oo. Soils Study	SAE	AR 5-14; AR 5-5	B533	2542
	pp. Technology Study	SAE	AR 5-14; AR 5-5	B544	2542
	qq. Trade Issue Study	SAE	AR 5-14; AR 5-5	B548	2542
	rr. Water Quality Study	SAE	AR 5-14; AR 5-5	B534	2542
	ss. Wildlife Study	SAE	AR 5-14; AR 5-5	B537	2542
	tt. Operations Research Studies (in support of RDTE objectives)	SAE	AR 5-14; AR 5-5	R405	2542
16	Studies, Analyses, and Evaluations Provided by FFRDC (Includes RAND Arroyo Center, Institute for Defense Analysis, Logistics Management Institute, Aerospace Corporation, Mitre, Mit Lincoln Laboratory, Software Engineering Institute, Institute for Advanced Technology, and all other FFRDC.)	SAE	OMB CIR A-11 DFAS-M 37-100-93	B5..	2544
17	National Environmental Policy Act (NEPA) (Costs for contracted environmental assessments and environmental impact statements required by NEPA.)	SAE	DFAS-M 37-100-97		2545

MANAGEMENT AND PROFESSIONAL SUPPORT. Provide assistance, advice, or training for the efficient and effective management and operation of organizations, activities (including management and support services for R&D activities), or systems. These services normally relate to the basic responsibilities and mission of the agency contracting for the services. Includes efforts that support or contribute to improved organization of program management, logistics, management, project monitoring and reporting, data collection, budgeting, accounting, performance auditing, and administrative/technical support for conferences and training programs. Includes services to review and assess existing managerial policies and organizations; develop alternative procedures, organizations, and policies; and to examine alternative applications and adaptations of existing or developing technologies.					
No.	SERVICES	CAAS CAT	REFERENCE	FSC	EOR
18	Program Management Support (technical and managerial services that directly support one/more specific program offices (i.e., Omnibus service contracts). Includes expenses formerly charged to EOR 2543).	MPS	AR 5-14 DFAS-M 37-100-87	R408	2551
19	Policy Review and Development (services to investigate, evaluate, or assess existing managerial policies or organizations; or to develop (independently) alternative procedures, organizations, and policies).	MPS	AR 5-14 DFAS-M 37-100-87	R406/ R407	2552
20	Management and Professional Support Provided by FFRDC (includes RAND Arroyo Center, Institute for Defense Analysis, Logistics Management Institute, Aerospace Corporation, Mitre, Mit Lincoln Laboratory, Software Engineering Institute, Institute for Advanced Technology, and all other FFRDC).	MPS	AR 5-14 DFAS-M 37-100-93	R408	2554
21	Technology Sharing & Utilization (examine alternative applications and adaptations of existing or developing technologies).	MPS	AR 5-14 DFAS-M 37-100-87	R415	2555
22	Logistics Support Services (support Integrated Logistic Support Plan (ILSP); i.e., maintenance support review, depot maintenance evaluation and planning, resources requirement investigation, field support requirements investigation, training in new military systems and equipment, reliability and maintainability review).	MPS	AR 5-14 DFAS-M 37-100-87	R706	2556
23	Technical Data Collection (primary purpose is the collection or organization of data).	MPS	AR 5-14 DFAS-M 37-100-87	R702	2557
24	Advertising and Public Relations Services (includes advertising for recruiting efforts).	MPS	AR 5-14 DFAS-M 37-100-87	R701/ R710	2558
25	Other Management and Professional Services (services having broad applicability and not identifiable to any specific program, e.g., Land Surveys (nonconstruction); auditing services (if cognizant DoD audit organization determines that expertise required to perform the audit is not available within the DoD audit organization (DFAR 237.203-70))).	MPS MPS MPS	AR 5-14 DFAS-M 37-100-87	R799/ R499 R703 R404	2559 2559 2559
26	ADP Training (includes all ADP training for all personnel (regardless of whether personnel are in ADP positions); all training for ADP personnel (expenses formerly charged to EOR 252M, 252N, 252P)).	MPS	DFAS-M 37-100-95	D399	255A

ENGINEERING AND TECHNICAL SERVICES. Support the program office or manager during the acquisition cycle by providing such services as systems engineering and technical direction (FAR 9.505-1(b)) to ensure the effective operation and maintenance of a weapon system or major system defined in OMB-C A-109 or to provide direct support of a weapons system that is essential to R&D, production, or maintenance of the system. Includes determining system performance specifications; identifying and resolving interface problems; developing test requirements, evaluating test data and overseeing test design; developing work statements, determining parameters, overseeing other contractor's operations and resolving technical controversies. Also, services of CORs providing assistance and training necessary to maintain and operate fielded systems, equipment and components (included software when applicable) at design or required levels of effectiveness.					
No.	SERVICES...	CAAS CAT	REFERENCE	FSC	EOR
27	Contract Plant Services (ETS provided by trained and qualified engineers and technicians of a manufacturer of military equipment or components in the manufacturer's own plants and facilities).	ETS	AR 5-14 DFAS-M 37-100-87	LO..	2591
28	Contract Field Services (ETS provided on site at defense locations by trained and qualified engineers/technicians of commercial or industrial companies).	ETS	AR 5-14 DFAS-M 37-100-87	LO..	2592
29	Field Service Representatives (those employees of a manufacturer of military equipment or components who provide a liaison or advisory service between their company and the military users of their company's equipment/components).	ETS	AR 5-14 DFAS-M 37-100-87	LO..	2593
30	Engineering and Technical Services by FFRDC (includes RAND Arroyo Center, Institute for Defense Analysis, Logistics Management Institute, Aerospace Corporation, Mitre, Mit Lincoln Laboratory, Software Engineering Institute, Institute for Advanced Technology, and all other FFRDC).	ETS	AR 5-14 DFAS-M 37-100-94		2594
31	System Engineering (services to investigate, evaluate or assess technical, scientific, or engineering problems, concepts, and performance of existing or proposed hardware (includes system performance review, engineering change proposal, safety development, initial installation, test and check-out of hardware, feasibility investigations, value engineering, hardware design)).	ETS	AR 5-14 DFAS-M 37-100-94	R414	2595
32	Specification Development (services to provide hardware or software specifications including efforts supporting configuration management; includes drafting contract specifications, production configuration specifications, and development of source selection criteria). Excludes A&E services for facilities (under EOR R413).	ETS	AR 5-14 DFAS-M 37-100-94		2596
33	ADP Deployment and Fielding (includes: site surveys; site activation; integration; testing; other services associated with development or fielding of ADP system).	ETS	AR 5-14 DFAS-M 37-100-95	D399	2597
34	Fielding -- of weapon and other material systems. (Includes New Equipment Training (NET); Total Package Fielding (TPF); Interim Contract Logistics Support (ICLS); First Destination Transportation (FDT) costs.)	ETS	AR 5-14 DFAS-M 37-100-95		2598

CAAS DETERMINATION QUESTIONNAIRE

Using this CAAS questionnaire, I have determined that the requirement **z** is **z** is not CAAS.
(check one.)

IF NOT CAAS, the exclusion was based on paragraph number _____.

CERTIFICATION: _____
CAAS Coordinator Date

Remarks: If requirement is CAAS, prepare MDD per AR 5-14 and AMC-C 5-6.

PUIC: _____
EOR: _____
FSC: _____

APPENDIX D

MANAGEMENT CONTROLS

Following are a series of questions to help organizations analyze and review requirements for consulting services contracts.

A. Inherently Governmental Functions.

If the response to either of the following questions is affirmative, the contract requirement is for an inherently Governmental function that must be performed by Government officials:

(1) Is the requirement for a function that is listed in or closely resembles a function listed in appendix A of OFPP Policy Letter 92-1, Inherently Governmental Functions?

(2) If not, is the requirement for an inherently Governmental function based on an analysis of the totality of the circumstances discussed in section 7(b) of Policy Letter 92-1?

B. Cost Effectiveness.

If the response to any of the following questions is affirmative, the organization may not have a valid requirement or not be obtaining the requirement in the most cost effective manner:

(1) Is the statement of work so broadly written that it does not support the need for a specific service?

(2) Is the statement of work so broadly written that it does not permit adequate evaluation of contractor versus in-house cost and performance?

(3) Is the choice of contract type quality assurance plan, competition strategy, or other related acquisition strategies and procedures in the acquisition plan inappropriate to ensure good contractor performance to meet the user's needs?

(4) If a cost reimbursement contract is contemplated, is the acquisition plan inadequate to address the proper type of cost reimbursement to ensure that the contractor will have the incentive to control costs under the contract?

(5) Is the acquisition plan inadequate to address the cost effectiveness of using contractor support (either long-term or short-term) versus in-house performance?

(6) Is the cost estimate, or other supporting cost information, inadequate to prevent the contracting office from effectively determining cost reasonableness?

(7) Is the statement of work inadequate to describe the requirement in terms of "what" is to be performed as opposed to "how" the work is being accomplished?

(8) Is the acquisition plan inadequate to ensure that there is proper consideration given to "quality" and "best value"?

C. Control.

If the response to any of the following questions is affirmative, there may be a control problem:

(1) Are there insufficient resources to evaluate contractor performance when the statement of work requires the contractor to provide advice, analysis and evaluation, opinions, alternatives, or recommendations that could significantly influence agency policy development or decision making?

(2) Is the quality assurance plan too general to monitor adequately contractor performance?

(3) Is the statement of work so broadly written that it does not specify a contract deliverable or require progress reporting on contractor performance?

(4) Is there concern that the agency lacks the expertise to evaluate independently the contractor's approach, methodology, results, options, conclusions, or recommendations?

(5) Is the requirement for a function or service listed in appendix B of OFPP Policy Letter 92-1, or similar to a function or service on that list, such that greater management scrutiny is required of the contract terms and the manner of its performance?

D. Conflicts of Interests.

If the response to any of the following questions is affirmative, there may be a conflict of interest:

(1) Can the potential offeror perform under the contract in such a way as to influence the award of future contracts to that contractor?

(2) If the requirement is for support services (such as system engineering or technical direction), were any of the potential offerors involved in developing the system design specifications or in the production of the system?

(3) Has the potential offeror participated in earlier work involving the same program or activity that is the subject of the present contract?

(4) Will the contractor be evaluating a competitor's work?

(5) Does the contract allow the contractor to accept products or activities on behalf of the Government?

(6) Will the work, under this contract, put the contractor in a position to influence Government decisionmaking, e.g., developing regulations, that will affect the contractor's current or future business?

(7) Will the work under this contract affect the interests of the contractor's other clients?

(8) Are any of the potential offerors, or their personnel who will perform the contract, former agency officials who -- while employed by the agency -- personally and substantially participated in (a) the development of the requirement for, or (b) the procurement of these services within the past 2 years?

E. Competition.

If the response to any of the following questions is affirmative, competition may be unnecessarily limited:

(1) Is the statement of work narrowly defined with overly restrictive specifications or performance standards?

(2) Is the contract formulated in such a way as to create a continuous and dependent arrangement with the same contractor?

(3) Is the use of an indefinite quantity or term contract arrangement inappropriate to obtain the required services?

(4) Will the requirement be obtained through the use of other than full and open competition?

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APPENDIX E
FORMAT
FOR SOLICITING IN-HOUSE CAPABILITY

(OFC SYM) (5-14)

(DATE)

MEMORANDUM FOR

SUBJECT: Soliciting In-house Capabilities in Lieu of Contracted Advisory and Assistance Services (CAAS)

1. The AR 5-14 and AMC-C 5-6, Managing Contracted Advisory and Assistance Services, requires activities to fully consider "in-house" capability before contracting for advisory and assistance services.
2. We are soliciting information regarding your organizations' ability to provide the services listed on the enclosed Statement of Work (SOW).
3. Please provide this information to the undersigned NLT (response time).
4. If your organization can provide the services in-house, we will contact your office with further guidance.
5. Negative responses (and reason for negative response) are required.

Encls

1. SOW
2. CDRL, if appropriate
3. Certification

DISTRIBUTION:

CERTIFICATION

The in-house capability of (Name of Organization), _____ is able/ _____ is not able to perform the services listed on the enclosed SOW.

(Signature of Authorizing Official)

Procedures for conducting an in-house search include:

- a. Send a **memorandum** to a minimum of two AMC or Army agencies that might be capable of performing the required service. (See enclosure.)
- b. Enclose a modified or general **Statement of Work** (SOW). Also enclose a **Contracts Data Requirements List** (CDRL), if applicable.
- c. Request certification (in writing) of the surveyed activity's ability to, or not to, perform the service.
- d. Require activities to provide a reason when responding with a negative (required for audit purposes).
- e. If in-house capability is indicated, provide the internal source with a detailed SOW and CDRL (as well as scheduled reviews, delivery dates, starting and ending dates).
- f. If more than one in-house source indicates ability to perform the service, the requiring activity will assess the more capable organization by establishing evaluation factors.
- g. If the requiring activity decides that the service can be performed in-house instead of going contract, transfer the funds budgeted for the CAAS contract will comply with regulatory constraints.
- h. CAAS reporting requirements and controls will not apply when in-house resources are used.
- i. If in-house capability is not available, the Management Decision Document (MDD) will indicate areas that were contacted with the "Certifications" attached to the MDD.
- j. The MDD will be submitted to the CAAS coordinator for processing.

APPENDIX F

FORMAT - MANAGEMENT DECISION DOCUMENT (MDD)

DATE:
PUIC:
DTIC: (if applicable)

MEMORANDUM FOR (name and title of approval official)

SUBJECT: (**Identify CAAS category** (SAE, MPS, or ETS) followed by specific subject)

1. **Purpose.** (e.g., To obtain approval of the requirement for a proposed contract for subject service.)

2. **Discussion.** Provide in this paragraph, or attach as enclosure, the following information:

a. A Statement of Work (SOW) [**that clearly identifies/qualifies this requirement in its scope**] **is attached** as Enclosure 1.

b. Describe the reason for the service.

c. **Objectives** of the effort. Include summaries of the proposed tasks and anticipated products. Indicate that detailed descriptions of tasks are in the SOW (Encl 1).

d. Explanation of how the service supports the mission of the agency or command.

e. Certification that the service **does not unnecessarily duplicate** prior or ongoing in-house or contract efforts. (Appropriate here is a description of the actions taken to justify the need.)

f. Certifications that (1) the service is **not an inherently governmental function**, (2) the service **cannot be performed in-house**, and (3) **contract performance is more cost effective**. (Appropriate here is a description of the actions taken to satisfy literature search criteria.)

g. Whether using other than **full and open competition** is planned. If noncompetitive provide name of performer, attach proper justification (see appendix I), and (if available) provide contract and task/delivery order number.

h. Description of **control procedures**, including -

(1) Description of quantitative and qualitative measures that will be used to evaluate the--

- (a) Progress of the contractor.
- (b) Quality and effectiveness of the final results and products.
- (2) Name, organization, and telephone number (DSN) of agency or command point of contact (**POC**).
- (3) Whether a **COR** will be nominated; if so, and if the proposed COR is different from the POC then the COR's name, organization, and telephone number.
- (4) Proposed organizational makeup of progress review group.
- (5) **Milestone schedule**, including schedules for progress reports and meetings.
 - i. Anticipated total **cost**, with detailed cost estimate if available.
 - j. Certify that **funds are available**. Identify funding appropriation and **Element of Resource**.
 - k. Recommendation of the appropriate Federal Supply Class (**FSC**) **code**.

3. **Coordination.** The requirement for the proposed contract has been coordinated with the following:

(CAAS Director)	cc/nc	(date)
(CAAS Coordinator)	cc/nc	(date)
(Command Counsel)	cc/nc	(date)
(Competition)	cc/nc	(date)
(Small Business Office, if applicable)	cc/nc	(date)

4. **Recommendation.** Approve the requirement for a proposed contract for subject service.

Encls (signed before staffing)
(REQUIRING ACTIVITY POC)
(name, title, activity)

APPROVED: _____ (signed after staffing with cf: CAAS Coord.)
(APPROVAL OFFICIAL)
DISAPPROVED: _____ (name, title, activity)

* DTIC number is required for all STUDIES. See AMC-C 5-6, Reporting.

FORMAT

MANAGEMENT DECISION DOCUMENT - EXTENSION
FOR ENGINEERING AND TECHNICAL SUPPORT (ETS)

FOR: (Name of approving official)

SUBJECT: (Title of ETS)

1. **PURPOSE:** To obtain approval of the requirement for an extension of the contract for ETS.

2. **BASIC INFORMATION.** Provide in this paragraph, or attach as enclosures to the document, the following information.

- a. Contractor name and address and organization POC name and address.
- b. Present contract:
 - (1) Date of award.
 - (2) Date of completion/termination.
 - (3) Final cost of contractor services.
- c. COR name and organization.
- d. Indication that the evaluation is attached as enclosure 1.
- e. Facts and figures starting with the date the materiel was fielded up to the present time.
- f. A full description of conditions which clearly establishes the specific requirement. Include sufficient data and rational for use in determining whether to continue, expand, curtail, establish or discontinue the use of ETS.
- g. Justification for not using organic support.
- h. Milestone for completion of LAR training.
- i. Assessment to the adequacy of personnel trained in the applicable MOS.
- j. Date when ETS will no longer be required.

- k. Alternative support services considered.
- l. A comparative cost analysis (organic versus contractor).
- m. Anticipated man-year of effort for the contract.
- n. A statement that funds are available, with identification of funding appropriation.

3. **COORDINATION.** The request for the extension of the contract has been coordinated with:
(List organization, office, concur/nonconcur, and date)

(CAAS Director)	cc/nc	(date)
(CAAS Coordinator)	cc/nc	(date)
(Command Counsel)	cc/nc	(date)
(Competition)	cc/nc	(date)
(Small Business Office, if applicable)	cc/nc	(date)

4. **RECOMMENDATION.** Approve the request for extension of the contract for subject service.

Encls

(signed before staffing)
(REQUIRING ACTIVITY POC)
(name, title, activity)

APPROVED: _____
DISAPPROVED: _____

(signed after staffing with cf: CAAS Coord.)
(APPROVAL OFFICIAL)
(name, title, activity)

APPENDIX G
STATEMENT OF WORK

1. **Scope.** (Specify the goal or products desired.)
2. **Background.** Describe the problem. Indicate how the effort relates to --
 - a. The mission of the agency/command.
 - b. Why the work is needed; what it is to accomplish.
 - c. Prior or ongoing in-house or contract efforts.
3. **Tasks.** This is the primary element of the statement of work (SOW). Describe in detail what is to be accomplished. The emphasis should be on what is to be done, not how it is to be done. The SOW should contain enough detail to ensure that the contractor can develop a plan to meet the objectives of the effort and that the Army can measure contractor performance against the objectives. It should not contain such detail as to inhibit the contractor from full use of capabilities and resources.
4. **Deliverables.** List the products to be produced. For each, indicate quantity, place of delivery, and schedule of delivery. All dates in the SOW should be stated relative to the date of contract award.
5. **Control Procedures.** Describe the means that will be used to maintain quality control.
 - a. Reviews. Indicate if progress review meetings will be used.
 - b. Reporting. Specify that the contractor must submit written progress reports to the contracting officer (and COR if used) and the frequency of the reports (for example, monthly, bimonthly, quarterly). Specify the desired contents of the reports, such as technical progress and fund expenditure.
6. **Government-Furnished Support.** Specify facilities (and location), equipment, data, documents, computer software and hardware, and other materials that will be made available for contractor use, and the time schedule.

INSTRUCTIONS
STATEMENT OF WORK

1. **DO NOT USE** any of the following words or combinations thereof: (See MIL-HDBK-245B.)
 - a. **ASSIST.** Assist connotes personal services. Does not define work to be accomplished.
 - b. **AS REQUIRED.** The application of this approach is a work condition undefined. It has no expressed limitations.
 - c. **AS APPLICABLE.** See d, below.
 - d. **AS NECESSARY.** If the Army does not know what is necessary or applicable, it must not leave the unsettled question as to the minimal needs of its requirements to the contractor.
 - e. **AS DIRECTED.** This condition, as a part of a work task in a SOW (paragraph 3), connotes a personal services situation.
2. **AVOID** the use of:
 - a. **SUPPORT.** Doesn't provide, without explicit explanation and direction, what support is needed.
 - b. **ENGINEERING AND TECHNICAL SERVICES.** The use of this phrase doesn't scope the areas of need categorically.
 - c. **ON CALL.** If used, must express in terms of on call for what is to be accomplished.
3. **Avoid loopholes.** Adequately describe what is intended.
4. MIL-HDBK-245B contains listing of "**work words**" that will assist the writer in developing a statement of work.

APPENDIX H
FORMAT
INDEPENDENT COST ESTIMATE (ICE)

Estimated
Costs

1. DIRECT LABOR:

- a. (List estimated personnel requirements)
- b. (Use a separate line for each individual)

2. LABOR OVERHEAD: (90 percent of direct labor)

3. TRAVEL:

- a. Transportation.
- b. Per diem.

TOTAL TRAVEL.....

4. GENERAL AND ADMINISTRATIVE: (20 percent of total direct labor, labor overhead, travel)

5. FEE (OR PROFIT): (9 percent of direct labor)

6. TOTAL ESTIMATED COST AND FEE OR PROFIT.

INSTRUCTIONS FOR INDEPENDENT COST ESTIMATE

1. The supporting documents for a contract study will include an independent cost estimate (ICE). The estimate should be marked "FOR OFFICIAL USE ONLY" (unless the nature of the information herein requires a security classification) to prevent unauthorized disclosure.
2. The estimates for direct labor will include the analytical effort to be applied. These estimates represent the amount of time and the levels of contracted analytical and supervisory skills needed for this effort. Civil Service position classification levels may be used for approximate skill levels, and Civil Service pay scales may be used for hourly rate estimates.
3. The labor overhead should be estimated at about 90 percent of direct labor. This factor includes nondirect labor and support and supplies and equipment. These costs may vary with each contractor; but for this estimate, the 90 percent is satisfactory.
4. Travel costs may be estimated using current Army per diem cost guides and civilian transportation cost guides. The number, duration, and purpose of trips anticipated should be stated. Since the location of the successful contractor is usually not known, air or rail costs should be estimated when travel is required outside the local area.
5. General and administrative (G&A) expenses are estimated at about 20 percent of the total of direct labor, labor overhead, and travel. This cost represents an allocation of corporate-level expenses to the study effort. These costs will vary with each contractor; but for this estimate, the 20 percent rate is satisfactory.
6. The fee or profit is estimated at 9 percent of the total of direct labor, labor overhead, travel, and G&A expense. These costs will vary with each contractor, but the 9 percent rate is satisfactory for this cost estimate. (The term "fee" is used for cost-type contracts, while the term "profit" is the proper term for fixed price-type contracts.)
7. The above costs are totaled to provide the ICE. This estimate is used by the contracting officer as described in FAR 15.803(b) and further amplified by AFARS 15.803(b)(90) and (91).

APPENDIX I

CRITERIA FOR DETERMINING WHETHER A PROPOSED NONCOMPETITIVE ACQUISITION IS JUSTIFIED AND FORMAT JUSTIFICATION FOR OTHER THAN FULL AND OPEN COMPETITION

CRITERIA FOR DETERMINING WHETHER A PROPOSED NONCOMPETITIVE ACQUISITION IS JUSTIFIED*

1. There is *only one source* in existence that can perform the contract requirements. The existence of one source should be a matter of fact and not a matter dependent upon the relative and limited knowledge of sources known by the requester or contracting officers. This criterion may not be used to justify a noncompetitive acquisition prior to testing the marketplace by issuing a sources sought synopsis. Such a sources sought synopsis should state that the Government knows of only one source who can do the work, states the name of the source and the work required. If only one source submits a response to the synopsis, this data may be used to support the justification for noncompetitive acquisition.
2. One *source controls* copyrights, patent rights, trade secrets, technical data, secret processes or other *proprietary data*. In the event rights are controlled by one source and this data is essential to the performance of the contract requirements and the source refuses to license or otherwise make the above data available to other sources, and the requirements cannot be revised to allow other sources to complete, factual information should be provided to support this criterion. This information should include citation of copyrights, exactly what is covered by the copyright or other data which is necessary to the contract performance, and why the requirement cannot be revised to permit competition. The mere existence of such rights does not in itself justify noncompetitive acquisition. It must be shown that the Government cannot meet its requirement(s) without the use of the proprietary data. The approval official should seek assistance from the legal advisor.
3. Unsolicited proposals. The fact that an offeror submits an unsolicited proposal containing a unique idea or approach does not in itself justify a noncompetitive acquisition. Mere claims of uniqueness must not be pointed to in justifications for departure from regulatory requirements for competitive acquisitions. The basis for believing that the ideas in an unsolicited proposal are original and significant and the reason for it not being possible to write a competitive request for proposal without compromising the original ideas of the unsolicited proposal should be included in the justification.

* Issued by ASARDA as a result of Initiative No. 32, Increase Competition, Defense Acquisition Improvement Program (DAIP).

4. There is existing equipment which, for reasons of compatibility and interchangeability, requires an item which is manufactured only by one source. This criterion is for use in acquisitions where a particular brand name item is required and an "or equal" will not meet the Government's requirements. This criterion will not be used where there are other manufacturers available who may be able to produce acceptable items even though their products may require minor adjustments and/or modifications. Such other manufacturers must be given the opportunity to compete.

5. The segments of the projects are so intertwined that it is impossible to successfully accomplish the project objectives if all segments are not obtained from the same contractor. This criterion is intended for use under research and development acquisitions as well as studies. It can only be used where there is a necessity to obtain the project as a total package in order to successfully complete the project. This criterion cannot be used where segments of the project can be completed separately. The possibility, by itself, that additional work may be done more conveniently or even at less expense by the original contractor is not sufficient reason to justify a noncompetitive acquisition using this criterion.

FORMAT
JUSTIFICATION FOR OTHER THAN FULL AND OPEN COMPETITION

1. GENERAL.

This provides a list of items suggested for use in developing justification for other than full and open competition. The justification must be attached to the management decision document (appendix G) and approved by management (paragraph 7d(4)) when other than full and open competition is proposed. If the overall requirement, including other than full and open competition, is approved by management, then the requirement and justification should be forwarded to the contracting officer for decision and action. (See also paragraph 7e(2).)

2. INFORMATION.

The items listed below can assist in assessing whether other than full and open competition is proper. Those items that apply in an individual case should be addressed.

- a. Name and business of proposed contractor.
- b. Date of first knowledge of the requirement.
- c. Delays in initiating acquisition process.
- d. Latest acceptable start date.
- e. Date when completed effort is required.
- f. Who specified the completion date.
- g. Why no other contractors can meet the completion date.
- h. Impact of a delay in completion of the effort.
- i. Duration of effort.
- j. Why the effort cannot be shortened or lengthened.
- k. Basis for attributing unique capability.
- l. Description of unique/proprietary skills, data, equipment, or processes, and why they cannot be provided to or acquired by other contractors.
- m. Why unique or proprietary skills, data, equipment, or processes are necessary for the effort, rather than means available to other contractors.

n. Why a competitive request for proposal or a Commerce Business Daily (CBD) synopsis cannot be written without compromising the original ideas in an unsolicited proposal.

o. Explanation of how the work would be described in a contract with the proposed contractor to ensure that a fair price would be paid and that the service would be nonpersonal.

p. Description of the steps being taken to seek competition in future acquisitions related to the subject matter.

APPENDIX J

CAAS COORDINATOR
MANAGEMENT DECISION DOCUMENT (MDD) CHECKLIST

PUIC NUMBER: _____

MDD TITLE:

1. This contract does not call for the performance of work of a policy, decision making, or managerial nature. _____
2. This contract is not being used to bypass or undermine personnel ceilings, pay limitations, or competitive employment procedures. _____
3. This contract is not being used to avoid conflict of interest, proper disclosure and warning provisions have been provided. _____
4. A manageable number of valid objectives have been determined. _____
5. The use and users of anticipated results have been identified. _____
6. Benefits, costs, and risks associated with conducting the effort have been estimated. _____
7. A literature search has been conducted to ensure that a valid requirement exists, objectives are defined, duplicative effort is minimized, and requirement is within the accompanying scope of work. _____
8. Funds for the requirement are available. _____
9. A statement of work has been prepared. _____
10. The requirement has been coordinated with the contracting officer. _____
11. If noncompetitive acquisition is planned, a justification has been prepared. _____

(The MDD should be returned to the requiring activity for review and rework if any of the above statements are not valid.)

CAAS Coordinator recommends approval of this MDD:

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APPENDIX K
FORMAT
EVALUATION OF ARMY MANAGEMENT
AND CONTRACTOR PERFORMANCE

SUBJECT: (Title).

1. PURPOSE. State the purpose of the effort.
2. CHRONOLOGY. Provide the milestone dates and summary of actions accomplished.
3. BASIC INFORMATION. Provide the following information:
 - a. Sponsor.
 - b. COR and/or sponsor representative (name and organization).
 - c. Contractor/organization name and address, POC name.
 - d. Contracting officer name and organization.
 - e. Contract:
 - (1) Date of award.
 - (2) Date completed or terminated.
 - (3) Final total cost.
4. MAJOR PROBLEMS ENCOUNTERED. List.
5. MAJOR ACHIEVEMENTS. List.
6. RESULTS. List the results. Describe the benefits to the Army from having conducted the effort. In general, the value received from the expenditure of resources may be judged by the benefits derived from the effort. Therefore, special care must be taken to describe the present and anticipated benefits. When possible, cost savings or cost avoidance accruing to the Army should be addressed. If definitive cost data cannot be used, well-thought-out quantitative or qualitative measures should be used to describe the benefits. Such benefits should be expressed in simple language easily understood by nontechnical personnel.

7. EVALUATION.

a. Contractor:

(1) Performance.

(2) Product.

b. Overall management of effort by Army.

8. LESSONS LEARNED. List.

9. IMPLEMENTATION OF RESULTS. Provide the names of the agencies or commands implementing the results, the implementation dates, principal milestones, and the action accomplished or products to be provided or published.

10. INFORMATION REPORTS. Date final DD Form 1498 (Research and Technology Work Unit Summary) or Work Unit Information Summary (WUIS) Worksheet was submitted to DTIC.

11. FINAL REPORT. Date copy of final report with Standard Form 298 (Report Documentation Page) was submitted to DTIC, and the DTIC accession number of the report.

APPENDIX L
INSTRUCTIONS - SCHEDULE 10
CONTRACTED ADVISORY AND ASSISTANCE SERVICES (CAAS)

1. GENERAL. Following are guidelines for submitting Schedules 10, Contracted Advisory and Assistance Services (CAAS), and 10B, Federally Funded Research and Development Centers (FFRDC). Detailed instructions are published electronically each year. Schedule 10 is used to prepare the President's Budget Exhibit (PB-15), Advisory and Assistance Services, in compliance with DOD Financial Management Regulation 7000.14-R and OMB Circular A-11.

2. DEFINITIONS.

a. Contracted Advisory and Assistance Services. Those services acquired by contract from nongovernmental sources (including FFRDC and other nonprofit organizations) to support or improve organization policy development, decision making, management, and administration; support program and project management and administration; provide management support for R&D activities; provide engineering and technical support; or improve the effectiveness of management processes and procedures. These services may take the form of information, advice, opinions, alternatives, analyses, evaluations, recommendations, or training and technical support. The three categories of CAAS are described below. (See DFAS-M 37-100-XX (or appendix C of this Circular) for detailed definitions and resource codes.)

(1) Category I - Management and Professional Support (MPS) - Identifier 0001. Contractual services that provide assistance, advice, or training for the efficient and effective management and operation of organizations, activities (including management, scientific, and engineering support services for R&D activities), or systems. Services are normally closely related to the basic responsibilities and mission of the agency contracting for the effort. Obligations for MPS should be identified in the Element of Resource (EOR) 255x series.

(2) Category II - Studies, Analyses, and Evaluations (SAE) - Identifier 0002. Contractual services that provide organized, analytic assessments/evaluations in support of policy development, decision making, management, or administration. Includes studies in support of R&D activities, as well as models, methodologies, or related software supporting studies, analyses, or evaluations. All contracted SAE are to be reported in this category, not just those that are part of the Army Study Program identified in AR 5-5. Obligations for SAE should be identified in the EOR 254x series.

(3) Category III - Engineering and Technical Support (ETS) - Identifier 0003. Contractual services that support the program office or program manager during the acquisition cycle. Provides systems engineering and technical direction (FAR 9.505-1(b)) to ensure the effective operation and maintenance of a weapon system or major system (as defined in OMB Circular A-109) or to provide direct support of weapons system that is essential to R&D,

production, or maintenance of the system. Obligations for ETS should be identified in the EOR 259x series.

b. Federally Funded Research and Development Centers (FFRDC). Congressional reporting requirements necessitates the identification of direct resources being programmed and obligated to obtain FFRDC support. The Centers are independent, not-for-profit, ceiling constrained, sole-source corporations which were created to enhance the capabilities of DOD and other Government agencies. DOD uses the centers to conduct specialized studies and analyses, systems engineering efforts, and laboratory research when in-house alternatives, commercial contractors, or other non-FFRDC facilities are not available to adequately perform the work. DOD also verifies the accuracy of all FFRDC data reported in Schedule 10. Improper reporting will subject organizations to a disproportionate share of any funding reductions directed toward FFRDC support by Congress or OSD. Services performed by FFRDC should be identified by EOR 2544 (SAE), 2554 (MPS), or 2594 (ETS).

3. INSTRUCTIONS.

a. Schedule 10 and 10B will be prepared for all appropriations (OMA, RDTE, PROC, AWCF) at the program element level of detail. Identify all resources used to obtain all advisory and assistance services. Indicate the specific FFRDC from which services were obtained (see below) or enter "non-FFRDC" as appropriate. Advisory and assistance services acquired from contracts managed by other government agencies and paid for with AMC funds are to be reported in this schedule and are the responsibility of the appropriation manager. In determining whether a contract is for advisory and assistance services, the contracting or executing organization is not relevant. **DO NOT obligate CAAS against EOR 258X series** (for RDTE resources which cannot be charged against a more appropriate EOR).

b. Federally Funded Research and Development Centers:

<u>ID#</u>	<u>Description</u>
0000	Non-FFRDC
0001	Institute for Defense Analysis (IDA), Alexandria VA
0002	Logistics Management Institute (LMI), McLean VA
0003	National Defense Research Institute (RAND Corp), Santa Monica CA
0004	C3I Federal Contract Research Center (MITRE Corp), Bedford MA and McLean VA
0005	Software Engineering Institute (Carnegie Mellon University), Pittsburgh
0006	Center for Naval Analysis, Alexandria VA
0007	Lincoln Laboratory (Massachusetts Institute of Technology), Lexington MA
0008	Aerospace Corporation, El Segundo CA
0009	Project Air Force (RAND Corp), Santa Monica CA
0010	ARROYO Center (RAND Corp), Santa Monica CA
0011	Critical Technologic Institute (RAND Corp), Washington, DC
0012	Energy Technology Engineering Center (Rockwell International Corp), Canoga Park CA
0013	Center for Advanced Aviation System Development (MITRE Corp), McLean VA
0014	Idaho National Engineering Lab (Lockheed Idah Technologies, Inc), Idaho Falls ID

- 0015 Oak Ridge National Laboratory (Martin Marietta Energy Systems, Inc) Oak Ridge TN
- 0016 Sandia National Lab (Sandia Corp - subsidiary of Lockheed Martin), Albuquerque NM
- 0017 Center for Advanced Aviation System Development (MITRE Corp), McLean VA
- 0018 Savannah River Laboratory (Westinghouse Electric Corp), Aiken SC
- 0019 Ames Laboratory (Iowa State University of Science and Technology), Ames IA
- 0020 Argonne National Laboratory (University of Chicago), Argonne IL
- 0021 Brookhaven National Laboratory (Associated Universities, Inc), Upton, Long Island NY
- 0022 Continuous Electron Beam Accelerator Facility (Southeastern University Research Assoc)
Newport News, VA
- 0023 Fermi National Accelerator Lab (Universities Research Association, Inc), Batavia IL
- 0024 Lawrence Berkeley Laboratory (University of California), Berkeley CA
- 0025 Lawrence Livermore National Laboratory (University of California), Livermore CA
- 0026 Los Alamos National Scientific Laboratory (University of California), Los Alamos NM
- 0027 Oak Ridge Institute for Science and Education (Oak Ridge Associated Universities, Inc)
Oak Ridge TN
- 0028 Princeton Plasma Physics Laboratory (Princeton University), Princeton NJ
- 0029 Stanford Linear Accelerator Center (Leland Stanford, Jr. University), Stanford CA
- 0030 Inhalation Toxicology Research Institute (Lovelace Biomedical & Environment Research
Institute), Albuquerque NM
- 0031 National Renewable Energy Research Lab (Midwest Research Institute), Golden CO
- 0032 Pacific Northwest Laboratories (Battelle Memorial Institute), Richland WA
- 0033 NCI Frederick Cancer R&D Center (Program Resource, Inc: Advanced Bioscience
Laboratories, Inc: Harlan Sprague, Inc; Data Management Services, Inc), Frederick, MD
- 0034 Jet Propulsion Laboratory (California Institute of Technology), Pasadena CA
- 0035 National Astronomy and Ionosphere Center (Cornell University), Arecibo PR
- 0036 National Center for Atmospheric Research (University Corporation for Atmospheric
Research), Boulder CO
- 0037 National Optical Astronomy Observations (Association for Universities for Research In
Astronomy, Inc) Tucson AZ
- 0038 National Radio Astronomy Observatory (Associated Universities, Inc), Green Bank WV
- 0039 Center for Nuclear Waste Regulatory Analyses (Southwest Research Institute),
San Antonio TX

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APPENDIX M

MATRIX - CAAS MILESTONES AND REPORTS

REPORT / DISTRIBUTION	SAE	MPS	ETS
MDD Contract / HQ AMC, ATTN: AMCRDA-AC (Must be prepared and approved prior to contract initiation.)	X	X	X
MDD Extension / HQ AMC, ATTN: AMCRDA-AC (Must be prepared and approved prior to contract initiation.)			X
DD Form 1498 / WUIS Worksheet to DTIC (Must be prepared at onset of contractual process and updated as changes occur throughout the life cycle of the contract.)	X		
Update DD Form 1498 / WUIS Worksheet to DTIC Award of Contract Contract Change Contract Termination Contract Completion (Requirement for MPS and ETS is sponsors option - if results would be helpful/useful to other organizations.)	X X X X	X	X
Written Evaluation of Contract / Contracting Officer	X	X	X
Standard Form 298 / DTIC (if logistics related, DLSIE also). (Requirement for MPS if effort results in formal report.)	X	X	
Final Report of CAAS effort / Local Library for distribution (Requirement for MPS and ETS if effort results in a formal report.)	X	X	X
Input AMC CAAS Annual Budget Submission / Automated System (Schedules 10 and 10B are basis for input to annual budget submission and the Command Operating Plan.)	X	X	X

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APPENDIX N
CHECKLIST
POLICY COMPLIANCE REVIEW

The following checklist will help agencies prepare for inspection of the individual CAAS programs.

1. Has a CAAS Director and a CAAS Coordinator been designated?
2. Who is the POC of Category II, Studies, Analyses, and Evaluations? Is a copy of AR 5-5 and AMC Supplement 1 to AR 5-5 available?
3. Who is the POC for Category I, Management/Professional Support Services? Is a copy of AR 5-14 available?
4. Who is the POC for Category III, Engineering and Technical Services? Is a copy of AR 700-4 available?
5. Are the CAAS Director and CAAS Coordinator aware that advisory and assistance services contracts continue to receive close scrutiny, therefore it is important that the management of advisory and assistance services contracts receive appropriate attention at all levels?
6. Are the CAAS Director and CAAS Coordinator familiar with the definitions of CAAS? Are there any problems with the definitions? Any recommendations on expanding the definitions to ensure better understanding?
7. Have the management and oversight provisions of AR 5-14 been institutionalized?
8. Are procedures established to ensure funds are identified in the annual plan/budget for CAAS?
9. Does the CAAS Coordinator monitor and control the obligation of funds expended for CAAS?
10. Have procedures been established to ensure that funds identified in the COB, Schedules 10 and 10B, are obligated for the purposes identified in the COB? When changes occur to the plan, represented by the COB, are revisions justified in the same manner as the original plan?
11. Does the CAAS Director oversee the preparation of an annual program and budget for CAAS?
12. Is the organization's CAAS annual program and budget reviewed to ensure it addresses the CAAS efforts performed which were part of the annual plan, and CAAS efforts which were performed and were not part of the organization's submitted plan?

13. Are revised Schedule 10 forwarded to HQ AMC, ATTN: AMCRDA-AC to cover CAAS efforts that were not part of the original submission?
14. Have the appropriate management controls been established to identify all requirements for CAAS?
15. Are all procurement requests screened to identify CAAS?
16. Are contracting officers aware that all contracts for CAAS should be coordinated with the CAAS Coordinator?
17. Are procurement officers aware that CAAS contracts should be approved using a Management Decision Document?
18. Do all awarded procurement requests for CAAS, including ETS, have an approved MDD?
19. Do contracts for CAAS clearly specify the work to be performed, the items to be delivered, and a fixed period of performance?
20. Does the CAAS Coordinator use a checklist to determine if a contract falls under CAAS? How does it compare with the HQ AMC developed checklist?
21. Prior to acquiring CAAS, do proponents assess in-house (Army) capabilities and document on a case-by-case basis, the in-house sources (including other agencies/commands) contacted and the availability of Army employees with the required expertise?
22. Are modifications to an existing contract undertaken only after considering continuing the work in-house or seeking a new competitive acquisition?
23. Are MDDs reviewed for resource utilization and the need for outside assistance vigorously challenged to ensure that in-house capability assessments are valid and that CAAS are only acquired when essential to the command's mission?
24. Are contracts for CAAS awarded through the use of full and open competition unless the conditions for noncompetitive award are met?
25. Are CAAS obtained on an intermittent or temporary basis, as required, unless there are extraordinary circumstances?
26. Are all CAAS (except in special cases) procured only through a contract dedicated solely to these purposes? If embedded in a predominantly non-CAAS contract, is the CAAS portion separately identified, separately priced, and assigned a separate contract line item number?
27. Are all CAAS actions subjected to the appropriate legal review?

28. Is a Project Unique Identification Code (PUIC) assigned to each MDD (and each corresponding Schedule 10/10B)?
29. Is a Defense Technical Information Center (DTIC) DD Form 1498 accession number obtained and entered on each MDD and DD Form 1498?
30. Is the applicable procurement code (FSC/FPDS) for each CAAS effort included on the Individual Procurement Action Report (DD Form 350)?
31. Is the applicable element of resource (EOR) code included on both the MDD and Schedules 10/10B?
32. How are MDD prepared by project/program managers assigned to a Program Executive Office (PEO) handled? Does the PEO sign indicating approval?
33. Are all CAAS procurement requests approved at the authorized level?
34. Has a process been established to review all CAAS procurement requests prior to their release to the contracting office ensuring that the total requirements package (e.g., MDD, SOW, Justification for Other Than Full and Open Competition (if applicable), Certificate of Urgency (if applicable), and legal review) complies with established policy and regulatory guidance and is in the proper format?
35. Has a central file been established for all MDD in the command/activity?
36. Are all approved MDD, both locally approved and those requiring approval by higher authority, forwarded to Commander, AMC, ATTN: AMCRDA-AC?
37. Do procurement requests show the category of CAAS to be purchased and an appropriate Federal Supply Code (FSC)?
38. Do CAAS solicitations include a statement requiring the bidder/offeror to indicate whether, when, and to what other Government agency they have provided similar services?
39. Is a written evaluation of the results of each completed CAAS (in-house and contract) prepared and (for Category A efforts) shown in Block 26 of the DD Form 1498?
40. Are written management evaluations prepared for all contractual actions within 30 days after completion (or termination) of the contract? Does the evaluation discuss the effectiveness of the contractor in performing the effort and the sponsor's management and support of the effort? Is a copy of the evaluation provided the contracting officer for inclusion in the official file? Is a copy provided Commander, AMC, ATTN: AMCRDA-AC to use in developing annual CAAS report?
41. Are reports, submitted to DTIC and DLSIE (if applicable), timely and accurate? Are other reporting requirements fulfilled?

42. Are the above requirements carried out for all CAAS categories: Studies, Analyses, and Evaluations; Management/Professional Support; and Engineering and Technical Support?
43. Are the project status and funds obligations tracked for each individual contract effort?
44. Are the contract acquisition files deemed to be exempt from the management controls of AR 5-14 documented?
45. Do contracting, purchasing, and finance and accounting offices have sufficient information to enable them to correctly code individual procurement actions, reports, and accounting records?
46. Is the initial WUIS Worksheet (or DD Form 1498) updated within 20 working days of the following events and forwarded to DTIC? If the CAAS effort concerns logistics, is a copy of the Worksheet (or DD Form 1498) also forwarded to the Defense Logistics Studies Information Exchange (DLSIE)? (Contract award, change, termination, or completion?)
47. Are copies of the award notifications and evaluations of results and uses of individual contract efforts filed by requiring activities for reference?
48. Is a final report (Standard Form 298, Report Documentation Page) submitted within 30 days of completion of the effort?
49. Are four copies of the final report (which includes the Standard Form 298) provided to the official library supporting the organization? Does the library make distribution to DTIC (two copies) and the Army Library (one copy)? Is one copy retained by the official library supporting the organization/activity?
50. Are copies of the following publications available?

OMB Policy Letter 93-1, Management Oversight of Service Contracting
OMB Circular A-11, Guidelines for the Use of Advisory and assistance Services
FAR (Federal Acquisition Regulation)
DFARS (DOD Federal Acquisition Regulation Supplement)
AFARS (Army Federal Acquisition Regulation Supplement)
AR 5-5, Army Studies, Analyses and Evaluations
AR 5-7, Defense Logistics Studies Information Exchange
AR 5-14, Management of Contracted Advisory and Assistance Service
AR 70-9, Army R&D Information System Program Planning & Ongoing Work Reporting
AR 600-50, Standards of Conduct for Department of the Army Personnel
AR 700-4, Logistics Assistance Program
DA PAM 5-5, Guidance for Army Study Sponsors, Sponsor's Study Directors, Study
Advisory Groups, and Contracting Officer Representatives
AMC Supplement 1 to AR 5-5

GLOSSARY

SECTION-I. ABBREVIATIONS

ADP -	Automated Data Processing
AFH -	Army Family Housing
ALO -	Authorized Level of Organization
AMC -	U.S. Army Materiel Command
BPRR -	Budget Program Resource Review
CAAS -	Contracted Advisory and Assistance Services
CBE -	Command Budget Estimate
CBD -	Commerce Business Daily
CFSR -	Contract Field Services Representative
COP -	Command Operating Plan
COR -	Contracting Officer's Representative
CPS -	Contractor Plan Services
DAIP -	Defense Acquisition Improvement Program
DARPA -	Defense Advanced Research Projects Agency
DBOF -	Defense Business Operating Fund
DCA -	Defense Communications Agency
DCAA -	Defense Contract Audit Agency
DIA -	Defense Intelligence Agency
DLA -	Defense Logistics Agency
DLSIE -	Defense Logistic Studies Information Exchange
DNA -	Defense Nuclear Agency
DOD -	Department of Defense
DSS-W -	Defense Supply Service - Washington
DTIC -	Defense Technical Information Center
EOR -	Element of Resource
EPA -	Environmental Protection Agency
ETS -	Engineering and Technical Support
FAR -	Federal Acquisition Regulation
FDT -	First Destination Transportation
FFRDC -	Federally Funded Research and Development Centers
FIRMR -	Federal Information Resources Management Regulation
FMS -	Foreign Military Sales
FPDS -	Federal Procurement Data System
FSC -	Federal Supply Class
FSR -	Field Service Representative

G&A -	General and Administrative
GDIP -	General Defense Intelligence Program
GO -	General Officer
HBCU -	Historically Black Colleges and Universities
HQ -	Headquarters
HQDA -	Headquarters, Department of the Army
ICLS -	Interim Contract Logistics Support
IGE -	Independent Government Estimate
ILSP -	Integrated Logistics Support Plan
J&A -	Justification and Approval
KO -	Contracting Officer
LAO -	Logistics Assistance Office
LAP -	Logistics Assistance Program
LAR -	Logistic Assistance Representative
MDD -	Management Decision Document
MDP -	Management Decision Package
MI -	Minority Institutions
MISMA -	Model Improvement Studies Management Agency
MOE -	Measures of Effectiveness
MOS -	Military Occupational Specialty
MSC -	Major Subordinate Command
MPS -	Management and Professional Support
NET -	New Equipment Training
NFIP -	National Foreign Intelligence Program
NSA -	National Security Agency
NTIS -	National Technical Information Service
OASD -	Office of the Assistant Secretary of Defense
OLE -	On-line Edit
OMB -	Office of Management and Budget
OSD -	Office of the Secretary of Defense
PCO -	Principle Contracting Officer
PEO -	Program Executive Office
POC -	Point of Contact
POM -	Program Objective Memorandum
PUIC -	Project Unique Identification Code
R&D -	Research and Development

RDTE - Research and Development Technical Evaluation

SADBU - Small and Disadvantaged Business Utilization

SAE - Studies, Analyses, and Evaluations

SDB - Small Disadvantaged Business

SES - Senior Executive Service

SOW - Statement of Work

SRA - Separate Reporting Activity

TASP - The Army Study Program

TIARA - Tactical Intelligence and Related Activities

TPF - Total Package Fielding

USAAA -U.S. Army Audit Agency

USMC - United States Marine Corps

USN - United States Navy

WUIS - Work Unit Information Systems

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SECTION-2. TERMS

Best Practices. Techniques that agencies may use to help detect problems in the acquisition, management, and administration of service contracts. Best practices are practical techniques gained from experience that agencies may use to improve the procurement process.

Contracted Advisory and Assistance Services (CAAS) are those services acquired directly by the DOD from nongovernment sources to support or improve agency policy development or decision making, or to support or improve the management of organizations, or the operation of weapon systems, equipment, and components. (See CAAS Determination Questionnaire, Appendix C.) CAAS consists of the following three major categories:

a. **Management and Professional Support (MPS).** Category I services provide assistance, advice, or training for the efficient and effective management and operations of organizations, activities include management, scientific, and engineering support services for R&D activities), or systems. These services normally relate to the basic responsibilities and mission of the agency contracting for the services. MPS includes efforts that support or contribute to improved organization or program management, logistics management, project monitoring and reporting, data collection, budgeting, accounting, auditing, and administrative and technical support for conferences and training programs; services to review and assess existing managerial policies and organizations; develop alternative procedures, organizations, and policies; and services to examine alternative applications and adoptions of existing or developing technologies.

b. **Studies, Analyses, and Evaluations (SAE).** Category II services are organized, in-depth, analytic assessments needed to understand complex issues and improve policy development, decisionmaking, management, or administration. Using scientific methods, SAE result in formal, structured documents containing or leading to conclusions or recommendations. Included are studies in support of R&D activities; obligations for models, methodologies, and related software supporting SAE; cost benefit or effectiveness analyses of concepts, plans, tactics, forces, systems, policies, personnel management methods, and programs; studies specifying the application of information technology and other information resources to support mission and objectives; technology assessments and management and operations research studies in support of RDTE objectives; evaluations of foreign force and equipment capabilities, foreign threats, net assessments and geopolitical subjects; analyses of material, personnel, logistics, and management systems; and environmental impact statements. (AR 5-5 and AMC Supplement 1 to AR 5-5)

c. **Engineering and Technical Support (ETS).** Category III services support the program office or manager during the acquisition cycle by providing such services as systems engineering and technical direction (FAR 9.505-1(B)) to ensure the effective operation and maintenance of a weapon system or major system as defined in OMB Circular A-109 or to provide direct support of a weapons system that is essential to R&D, production or maintenance

of the system. Includes determining system performance specifications; identifying and resolving interface problems; developing test requirements; evaluating test data; overseeing test design; developing work statements; determining parameters; overseeing other contractor's operations; resolving technical controversies; services of contractor technical representatives providing assistance and training necessary to maintain and operate fielded systems, equipment, and components (includes software, when applicable) at design or required levels of effectiveness. ETS consist of the following:

(1) *Contractor Plant Services*. Engineering and technical services provided to DOD personnel by a manufacturer of weapon systems, equipment, or components. These services are provided in the manufacturer's facilities by engineers and technicians employed by the manufacturer.

(2) *Contractor Field Services*. Engineering and technical services provided to DOD personnel by technically qualified DOD contractor representatives. These services include information, instruction, training, and hands-on training (i.e., direct assistance) provided by contractor representatives.

(3) *Field Service Representatives*. Engineering and technical services performed by a manufacturer of military equipment or component who provides a liaison or advisory service between their company and the military users of their company's equipment or components.

CAAS Director. The Assistant Deputy Chief of Staff for Research, Development and Acquisition at HQ AMC and the head of a staff element at each MSC and SRA designated as the central focal point for the oversight of CAAS.

CAAS Coordinator. A government employee, military or civilian, in the Office of the Deputy Chief of Staff for Research, Development and Acquisition at HQ AMC; and the member of the CAAS Director's staff element at each MSC and SRA designated to execute CAAS oversight functions and performs as the liaison between requiring, resource, and procurement activities for the management of CAAS.

CAAS Contract Point of Contact. A government employee, military or civilian, in the procurement office of each major subordinate command designated as the point of entry of and central focal point for the management and tracking of all CAAS requirements submitted for contract execution.

Justifications and Approvals (J&A). Special form of written approval by an authorized official that is required by statute or regulation as a prerequisite to taking certain contracting actions.

Justification for Other Than Full and Open Competition. Document is prepared and attached to the MDD and approved by management when noncompetitive acquisition is proposed. The MDD and justification is forwarded to the contracting office for decision and action.

Management Decision Document (MDD). A written document (letter or memorandum), submitted to a proper management official, that seeks approval for initiation of an CAAS effort.

Organization. AMC headquarters, major subordinate commands (and their subordinate activities), and separate reporting activities.

Project Unique Identification Code (PUIC). A nine position code consisting of five positions for the organization, one position for the year the project is first programmed (S=FY98, T=FY99, U=FY00, V=FY01) and a three position sequential number. The PUIC is used to track projects throughout their life cycle. There will not be duplicate PUIC. In the event of duplicates, HQDA MISMA personnel will change the last three numbers. The same PUIC entered on a Schedule 10, must be entered in Block 22, DD Form 1498 when the effort (project) is reported to DTIC (and DLSIE if appropriate), and by the contracting office when any contracting action for a study (or MPS) takes place. A sample entry would be: AMCRD-S-001 (organization/program year/sequential log number).

Requiring Activity. The organization that initiates a CAAS requirement.

Requiring Activity's Representative. The action officer designated by the sponsoring organization or element head to develop a CAAS requirement (or to monitor a CAAS requirement).

Service Contract. A contract that directly engages the time and effort of a contractor whose primary purpose is to perform an identifiable task rather than to furnish an end item of supply.

Unsolicited Proposal. Written proposal that is submitted to an agency on the initiative of the submitter for the purpose of obtaining a contract with the Government and which is not in response to a formal or informal request (other than an agency request constituting a publicized general statement of needs). (*FAR 15.6.*)

Work Unit Information Summary (WUIS) Worksheet. The Worksheet (or DD Form 1498) comprises summary descriptions of research in progress and provides a comprehensive data base of ongoing research. The WUIS helps researchers avoid uncoordinated duplication of effort and resources. All in-house and contract studies are reported on the Worksheet (or DD Form 1498) and entered into the WUIS data base. A literature search is required before the start of an in-house and contract study effort.

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